

**Provision of adequate housing through cooperative government and
intergovernmental relations: The case of Bushbuckridge Local Municipality (BLM)**

by

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A thesis

submitted in fulfilment of the requirements

for the degree of

Doctor of Administration in Public Administration

in the subject

Public Administration

at the

University of South Africa

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June 2017

DECLARATION

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I hereby declare that the thesis entitled 'Provision of adequate housing through cooperative government and intergovernmental relations: The case of Bushbuckridge Local Municipality (BLM)' is my own work. All the sources that I cited in this study have been acknowledged accordingly.

SV Ubisi-----Date-----

ACKNOWLEDGEMENTS

I thank God who endowed me with wisdom, kept me healthy and strong throughout this study.

I also wish to thank the following:

My promoters for their endless support and guidance.

Mr Robert Mampa of DGSD Consulting Engineers and Project Managers who did such a sterling job in providing me with documents when I was completing my master's degree. Without a master's degree, one may not enrol for a doctoral degree. Some of your natural characteristics that I noticed and that I hope you always retain include your reliability, focused mind, honesty and fulfilment of promises, *ke a go leboga*.

The University of South Africa for selecting me as one of the post graduate development fellows in the Post Graduate Development Programme funded by the Department of Higher Education and Training.

The Department of Higher Education and Training for funding the Post Graduate Development Programme.

The HRD unit of the Public Service Commission for ensuring that all the documents required for the former DG's approval were submitted to the DG's office.

Professor Michael Richard Levin, the former Director-General of the Public Service Commission, for granting me permission to participate in the Post Graduate Development Programme of the Department of Higher Education and Training.

Mama, 'I made it'. I wish you were still alive to witness this moment. You always encouraged us (your kids) to be educated. Unfortunately, I am the only one who has reached this level. You, Grandmother and Uncle always believed in me, may your souls rest in peace.

My children, Blessing Mandumane, Gina Miyahluli, Rachel Mihloti, and my step-daughter, Peacemaker Sasekani Mkhathshwa, for their support, encouragement, advice and for taking care of each other whenever I had to relocate to Pretoria to be near to the main library. Without you, my children, I do not think I would have achieved my study objectives, you are the pillar of my strength. I have laid an educational foundation, your task is to build an educational castle for the upcoming generations of this family. *Ndza mi khensa vana vanga*. Also, not forgetting my daughter-in-law, Princess Gugu Mhlongo, and my granddaughters, Ntsako Mbalenhle and Rirhandzu Zamazwide Mkhathshwa as well as my late son, Benedict Sivhiko Mkhathshwa, may your soul also rest in peace, my boy.

Mr Molapane Hosea Sello Mothotoana for encouraging me to register for the doctoral degree when I was hesitant to continue studying after completing my master's degree. Also, not forgetting your availability whenever I needed assistance on how municipalities function, *ke a leboga ntate*.

Mr Samuel Azwindini Denga for checking on me on a daily basis when I was collecting data in the Bushbuckridge Local Municipality in Mpumalanga Province. Your daily words of encouragement alleviated the challenges I was encountering with the target population (ward councillors) while your assistance with service delivery articles is highly appreciated.

Mr Moses Mtileni of the City of Johannesburg Metropolitan Municipality for sharing his practical experiences in housing and assisting with the municipal accreditation documents. *Ndza khensa*.

Mr Solly Mgiba from the municipal manager's office for all his initiatives in ensuring that the Bushbuckridge Local Municipal Council granted me permission to conduct my research study at their institution. *A swi ve tani nile ka lava va ha taka*.

Mr Aubrey Mnisi from the Speaker's Office and his '***Salphinah, what do you want to be assisted with***' approach and always recommending someone who could assist if he had no solution for my problem. Your willingness to always assist is highly appreciated.

Mr Rodgers Douglas Tshobete, ward councillor of ward thirty one (31), Thulamahashe C, for informing the beneficiaries of my planned visits to their houses and for allowing the ward committee members to participate in the study. *Khanimamba*

Ms Iris Qhibi, Mr Benson Khumalo, Mr Conference Shilubane, Ms Nothando Matshimane, Ms Fikile Ndlala, Mrs Masana Chikeka, Ms Nomthandazo Mlotshwa, Mr Bhekisisa Elias Nkosi and Mr Klaas Mbowane, you all contributed to this study in different ways.

All the ward councillors of the BLM who participated in the study.

The beneficiaries of Thulamahashe C (ward 31) for welcoming me into their houses and for participating in my study.

The Bushbuckridge Local Municipality's human settlements officials who participated in the study and who shared their experiences in the implementation of human settlements projects in their municipality.

Ms Alexa Barnby for editing my thesis.

Mr S E B Matsebula, former acting Head of Department and Mr K Masenge, Head of the Department of Mpumalanga Provincial Department of Human Settlements, for granting me permission to conduct my research study at their institution. Also, special thanks to Mr Jerry Sigudla, former official at the MPDHS, for all his efforts to keep me updated on the progress of my request.

SUMMARY

South Africa adopted the democratic decentralisation governance model in 1994 with the aim of improving, inter alia, service delivery. The adoption of this model resulted in the establishment of three spheres of government, namely, national, provincial and local. These three government spheres are distinctive, interdependent, interrelated and autonomous. Power and responsibilities are devolved from the national to the provincial and then to the local government spheres. Cooperative government and intergovernmental relations structures in the three spheres of government were established in order to improve service delivery and to assist in the execution of the devolved powers. However, the results of this study revealed that the structures which had been established were not effective in addressing the housing challenges facing the Bushbuckridge Local Municipality (BLM). The results also revealed that each government sphere executed its housing mandatory responsibilities only when a housing project was launched or implemented in the BLM. During housing project implementation, the BLM was responsible for evaluation, the Mpumalanga Provincial Department of Human Settlements (MPDHS) was responsible for contracting a housing service provider and for payments while the National Department of Human Settlements (NDHS) was responsible for quality of the houses and compliance to national housing standards. In addition, the BLM had an inspection unit and the NDHS was supposed to work closely with the National Home Builders Registration Council (NHBRC). However, the houses provided had defects ranging from cracked walls and floors, leaking roofs, leaking pipes to fading paint. The main role of the NHBRC is to check the quality or adequacy of public houses before they are allocated to the targeted beneficiaries.

Keywords: accountability, adequate housing, agent-principal theory, cooperative government, cooperative government and intergovernmental relations structures, decentralisation, democracy, good government, intergovernmental relations, local government, municipality, public housing, public participation and service delivery.

ABBREVIATIONS

ADB	Asian Development Bank
ADBI	Asian Development Bank Institute
ANC	African National Congress
BLM	Bushbuckridge Local Municipality
B2B	Back-to-basics
BNG	Breaking new ground
BRRR	Budgetary Review and Recommendations Report
CDWP	Community Development Workers Programme
CDW	Community Development Workers
CG	Central Government
CLC	Community Law Centre
CoGTA	Cooperative Government and Traditional Affairs
CRC	Citizen Report Card
CSC	Cross-sector collaboration
CPSD	Cooperative public service delivery
CSO	Civil society organisations
DA	Democratic Alliance
DG	Director-General
DMTWG	Decentralised managed technical working group

DORA	Division of Revenue Act
DP	Development partner
DPME	Department of Planning, Monitoring and Evaluation
DPLG	Department of Provincial and Local Government
DPRK	Democratic People’s Republic of Korea
DPSA	Department of Public Service and Administration
DSWG	Decentralised sector working group
EFF	Economic Freedom Fighters
FG	Focus group
FFC	Finance and Fiscal Commission
FOSAD	Forum of Director Generals
GEAR	Growth, employment and redistribution
GG	Good governance
GIZ	German Development Cooperation
GNU	Government of National Unity
GoT	Government of Tanzania
GoU	Government of Uganda
HOD	Head of Department
HSDG	Human Settlements Development Grant
ICT	Information and communication technology
IEC	Independent Electoral Commission

IDP	Integrated Development Plan
IT	Information technology
LG	Local government
IGF	Intergovernmental forum
IGR	Intergovernmental relations
IGRFA	Intergovernmental Relations Framework Act
IGT	Intergovernmental transfer
LGA	Local Government Authority
LDPG	Local Development Partners Group
LGD	Local Governance and Decentralisation
LGRP	Local Government Reform Programme
MDCM	Mpumalanga Development Coordinating Model
MPDHS	Mpumalanga Provincial Department of Human Settlements
MAF	Municipal Accreditation Framework
MEC	Member of Executive Council
MHSCG	Municipal Human Settlements Capacity Grant
MinMECs	Ministers and Members of Executive Councils
MMCs	Members of Mayoral Committee
MP	Member of Parliament
MSP	Multi-stakeholder project
MTEF	Medium-Term Expenditure Framework

NALA	National Association of Local Authorities
NA	National Assembly
NBR	National Building Regulations
NCOP	National Council of Provinces
NDHS	National Department of Human Settlements
NDP	National Development Plan
NGO	Non-governmental organisation
NHBRC	National Home Builder Registration Council
NHNR	National Housing Needs Register
NPM	New Public Management
NSDS	National Sustainable Development Strategy
OECD	Organisation for Economic Cooperation and Development
PB	Participatory budgeting
PETS	Public Expenditure Tracking System
PFMA	Public Financial Management Act
PIF	Premier's Intergovernmental Forum
PMG	Parliament Monitoring Group
PCC	President's Coordinating Council
PCF	Premier's Coordinating Forum
POE	Post occupational evaluation
PPD	Party for Peace and Democracy

PPP	Public-private partnerships
POSDCORB	Planning, organising, staffing, directing, coordinating, reporting and budgeting
PSC	Public Service Commission
PSMWG	Public Sector Management Working Group
RDP	Reunification and Democracy Party
RHIG	Rural Household Infrastructure Grant
ROK	Republic of Korea
SALGA	South African Local Government Association
SNG	Subnational government
SONA	State of the Nation Address
UDM	United Democratic Alliance
UDN	Uganda Debt Network
UNDP	United Nations Development Programme
UK	United Kingdom
US	United States
WCS	Ward Committee System

TABLE OF CONTENTS

CHAPTER 1

BACKGROUND AND RATIONALE FOR THE STUDY

1.1 Introduction	1
1.2 Background and rationale for the study	2
1.2.1 Cooperative government	12
1.2.2 Intergovernmental relations	14
1.2.3 Adequate housing	23
1.3 Importance of this study	26
1.4 Purpose of the study	27
1.5 Problem statement	28
1.6 Objectives of the study	30
1.7 Research scope and demarcation of the study	30
1.8 Limitations and delimitation of the study	31
1.9 Ethical considerations	33
1.10 Clarification of terms	34
1.11 Overview of chapters	40
1.12 Reference technique	42
1.13 Conclusion	44

CHAPTER 2

DECENTRALISATION AS A DEMOCRATIC MODEL OF COOPERATIVE GOVERNMENT IN SOUTH AFRICA

2.1 Introduction	46
2.2 Decentralisation as a democratic governance model	47
2.3 Democracy as government by the people	62
2.3.1 Challenges facing democracy	63
2.4 Governance as a principle of cooperative government and intergovernmental relations	64
2.5 Major types of decentralisation commonly used by democratic countries	67
2.5.1 Administrative decentralisation	67
2.5.1.1 Devolution	68
2.5.1.2 Deconcentration	70
2.5.1.3 Delegation	71
2.5.1.4 Deregulation or privatisation	73
2.5.2 Political decentralisation	75
2.5.3 Fiscal decentralisation	76
2.6 Democratic decentralisation in Germany, South Korea, Tanzania and Uganda	84
2.6.1 Germany	84
2.6.2 South Korea	90

2.6.3 Tanzania	97
2.6.4 Uganda	100
2.7 Conclusion	106

CHAPTER 3

CONCEPTUALISATION OF COOPERATIVE GOVERNMENT IN THE DELIVERY OF ADEQUATE HOUSING IN SOUTH AFRICA

3.1 Introduction	107
3.2 Conceptualisation of government	108
3.2.1 Network governance	112
3.2.2 Public participation as a democratic right to express views	116
3.2.2.1 Roles of stakeholders in execution of government functions	122
3.3 Composition of the South African Parliament	125
3.3.1 Portfolio Committee on Human Settlements	127
3.4 Critical structures of cooperative government and intergovernmental relations	127
3.4.1 Intergovernmental forum (IGF)	128
3.4.2 President's Coordinating Council (PCC)	130
3.4.3 Ministers and Members of the Executive Councils (MinMECs)	131
3. 4.4 Ministerial clusters	132
3.4.5 The Forum of South African Directors-General (FOSAD)	134

3.4.6 Premier's Coordinating Forum (PCF)	135
3.4.7 Budget Council and Local Government Budget Forum	136
3.4.8 Provincial intergovernmental relations forums	137
3.4.9 Municipal intergovernmental relations forums	139
3.5 Cooperative government and intergovernmental relations mechanisms	143
3.5.1 Consultation	144
3.5.2 Communication	146
3.5.3 Cooperation	153
3.5.4 Coordination	155
3.5.5 Collaboration	158
3.6 Provision of adequate housing as a concurrent function of the three government spheres in South Africa	161
3.7 Conclusion	167

CHAPTER 4

RESEARCH DESIGN AND METHODOLOGY

4.1 Introduction	169
4.2 Research design	170
4.2.1 Case study	173
4.3 Research methodology	177

4.3.1 Qualitative research methodology	178
4.3.2 Quantitative research methodology	181
4.3.3 Mixed research methodologies	182
4.4 Research data collection instruments	183
4.4.1 Sample	184
4.4.2 Questionnaires	189
4.4.3 Interviews	192
4.4.3.1 Structured interviews	194
4.4.3.2 Unstructured interviews	195
4.4.3.3 Semi-structured interviews	196
4.4.3.3.1 Probing	197
4.4.3.3.2 Coding	198
4.4.4 Documents	199
4.4.5 Observation	200
4.4.6 Triangulation	203
4.5 Data	204
4.5.1 Data analysis	206
4.6 Validity, reliability and trustworthiness	207
4.6.1 Validity	207
4.6.2 Reliability	208
4.6.3 Trustworthiness	209

4.7 Ethical considerations	210
4.7.1 Ethical issues	211
4.7.1.1 Anonymous	211
4.7.1.2 Confidentiality	212
4.7.1.3 Voluntary participation and privacy	213
4.7.1.4 Informed consent forms	213
4.8 Conclusion	215

CHAPTER 5

DATA ANALYSIS AND INTERPRETATION

5.1 Introduction	216
5.2 Administration of the semi-structured questionnaires	217
5.3 Data analysis and interpretation of the results	217
5.4 Research questions	219
5.4.1 Question 1: How are the cooperative government and intergovernmental relations structures utilised by the three spheres of government to improve housing service delivery in the Bushbuckridge local municipality?	219
5.4.2 Question 2: What are the reasons for the three spheres of government to appearing to operate in silos when delivering housing services in the BLM?	226
5.4.3 Question 3: How effective is the model of democratic decentralisation in providing	

housing services in the BLM?	234
5.4.4 Question 4: Which structures were used by the Bushbuckridge Local Municipality to involve the beneficiaries of the Construction of the Youth Houses 50 Project, Project ID BLMHL005, in the initiation and implementation phases of the project?	237
5.4.5 Question 5: How adequate are the houses provided in the BLM (Thulamahashe C, ward 31)?	245
5.5 Conclusion	256

CHAPTER 6

FINDINGS, RECOMMENDATIONS AND CONCLUSION

6.1 Introduction	257
6.2 Summary of the chapters	257
6.3 Findings	259
6.3.1 Probing results	261
6.3.2 Observation results	263
6.4 Recommendations	265
6.5 Areas of further study	266
6.6 Limitations of the study	267
6.7 Conclusion	271

CHAPTER 7: THE CITIZEN REPORT CARD (CRC) MODEL AS AN ACCOUNTABILITY TOOL FOR CITIZENS

7.1 Introduction	272
7.2 Some highlights from the literature review and the results of the study that justify the development of an accountability tool	273
7.2.1 The citizen report card (CRC) model as an effective accountability tool for citizens	277
7.2.1.1 The CRC survey questionnaire as an accountability tool for BLM citizens	284
7.2.1.1.1 The CRC survey questionnaire developed for the BLM citizens	292
7.3 Conclusion	301
7. 4 List of sources	302
ANNEXURES	344
Annexure A: Letters to the Bushbuckridge Local Municipality and the Mpumalanga Provincial Department of Human Settlements requesting permission to conduct the study	344
Annexure B: Letters of approval letters from the Bushbuckridge Local Municipality and the Mpumalanga Provincial Department of Human Settlements	351
Annexure C: Ethical clearance certificate	353
Annexure D: Semi-structured questionnaires	354
Annexure E: Informed consent form	384
Annexure F: Probing and observation questions produced by fieldnotes	387

LIST OF FIGURES

Figure 1.1: Illustration of some of the cooperative government and intergovernmental relations structures within the three government spheres	17
Figure 1.2: The coordinating authority model	20
Figure 1.3: The overlapping authority model	21
Figure 1.4: The inclusive authority model	22
Figure 2.1: Illustration of the accountability layers of principals	60
Figure 2.2: Illustration of the accountability of both agent and principal	61
Figure 3.1: The conceptual framework of decentralised powers in South Africa	112
Figure 7.1: The accountability model	277

LIST OF GRAPHS

Graph 5.1: Responses regarding participation in the national intergovernmental forum or President's Coordinating Council	221
Graph 5.2: Responses regarding participation in the provincial intergovernmental forum	223
Graph 5.3: Responses regarding participation in the municipal intergovernmental forum	224
Graph 5.4: Responses regarding the effectiveness of the municipal intergovernmental forum	225
Graph 5.5: Responses regarding the relationship of the ward councillors with the provincial SALGA, MEC offices of the MPDHS and CoGTA	227
Graph 5.6: Responses regarding the budget needs of the ward councillors	230

Graph 5.7: Responses regarding the budget allocated for housing services such as water and sanitation	231
Graph 5.8: Responses regarding the use of the BLM's communication, marketing and events coordination unit to consult, communicate, coordinate and cooperate on housing issues with MPDHS and the NDHS	232
Graph 5.9: Responses regarding the use of the BLM's communication, marketing and events coordination unit to collaborate on housing issues with MPDHS and the NDHS	233
Graph 5.10: Responses regarding the execution of housing responsibilities fully independently	234
Graph 5.11: Reasons that hampered ward councillors in executing their housing roles and responsibilities independently	235
Graph 5.12: Opinions of ward councillors on the implementation of housing projects by the MPDHS in the BLM	236
Graph 5.13: Responses about being invited during the planning phase of the housing project	238
Graph 5.14: Responses regarding who had invited the beneficiaries during the planning phase	240
Graph 5.15: Responses to determine whether beneficiaries had been given an opportunity to mention their housing needs during planning phase	241
Graph 5.16: Responses regarding participation during implementation phase of the housing project	242
Graph 5.17: Responses regarding participation during allocation phase	243
Graph: 5.18: Responses as to whether the completed houses had been allocated fairly to the targeted beneficiaries	244

Graph 5.19: Responses regarding whom the beneficiaries had consulted if they encountered housing problems	245
Graph 5.20: Responses on the adequate space of the allocated houses	246
Graph 5.21: Responses on protection against cold and heat	247
Graph 5.22: Responses on protection against rain	248
Graph 5.23: Responses on access to employment opportunities and shops	249
Graph 5.24: Responses on access to health care services and schools	250
Graph 5.25: Illustration of the responses on the affordability of purchasing monthly electricity	251
Graph 5.26: Responses on the unaffordability of purchasing monthly electricity	252
Graph 5.27: Responses regarding houses meeting the housing needs of beneficiaries	253
Graph 5.28: Responses regarding the definition of an adequate house	254
Graph 5.29: Responses on protection against damp	255

LIST OF TABLES

Table 6.1: Reasons for not interviewing some of the ward councillors	268
Table 7.1: Key stages of the CRC process for the developed accountability tool	288

CHAPTER 1

BACKGROUND AND RATIONALE FOR THE STUDY

1.1 Introduction

Cooperative government and intergovernmental relations structures were established in all three spheres of government to improve service delivery. However, in addition to the poverty and unemployment challenges, the democratic government of South Africa, in common with other democratic governments, is faced with the mammoth problem of delivering basic services, including housing, fairly and effectively to the majority of the citizens who had, historically, been denied access to such services (Mubangizi & Tshishonga 2013:299-300). When the South African democratic government came into power in 1994, it adopted the democratic decentralisation governance model which produced three spheres of government in order to improve housing service delivery among other things (Coetzee 2010:85-86). Section 41(1)(h)(i-v) of the Constitution of the Republic of South Africa, 1996, states that all three spheres of government must: (a) cooperate with one another in mutual trust and good faith by fostering friendly relations, (b) assist, support and consult one another in matters of common interest, and (c) coordinate their actions and legislation with one another and adhere to agreed procedures.

Housing is one of the basic necessities of life (Janssen-Jansen & Schilder 2015:88). Government officials serving in the three government spheres act as agents of the state with the state as their principal. These agents are delegated responsibilities by the principal and must execute these responsibilities in order to meet the housing service expectations of the citizens in each government sphere (Malmir, Rashidpour, Shirvani & Soltani 2014:84). Effective cooperative government and intergovernmental relations facilitate and enhance improved social services, including housing (Naude & Nealer 2011:105).

Cooperative government refers to the relationship and the cooperation between government spheres through the daily execution of legislative and executive functions. This chapter discusses the introduction, background and rationale to the entire study, the terminology used and the outline of the dissertation chapters. It concludes with a brief summary of the discussions in the chapter.

1.2 Background and rationale for the study

Cooperative government also refers to the obligation of the spheres of government to trust, support and assist one another in coordinating public service delivery to the communities (Mathebula 2011:840). The 1995 White Paper on the Transformation of the Public Service requires the three spheres of government to promote consultation, communication, cooperation, coordination and collaboration, among other things, in order to entirely transform the South African government into a Government of National Unity (hereafter referred to as GNU). The vision of the GNU, according to this White Paper, is to render improved services to all citizens (Department of Public Service and Administration, 1995:5, 10, 17-18, 47, 49 & 63). This has been affirmed by the United Nations (2000:3) which regards governance as the promotion of building solutions to existing problems by establishing frameworks that will support or promote consultation, communication, cooperation, coordination and collaboration. Any governance process should be highly participatory and must involve policy debates and communication on alternative service delivery mechanisms and accountability by all stakeholders. One of the effective accountability tools that may be used by citizens to hold government officials accountable for their (government officials) actions is the Citizen Report Card model (hereafter referred to as CRC). The CRC identifies the key constraints faced by citizens in: (a) accessing public services, (b) appraising the quality and adequacy of public services and (c) appraising the quality of their interactions with public service delivery officials (Nair, 2015:12-13). Accountability is further discussed in section 2.2 and chapter 7 while public

participation and the roles of stakeholders are discussed in sections 3.2.2 and 3.2.2.1 respectively.

The Housing Act (107 of 1997) provides for the housing roles and functions of the three spheres of government. Some of these functions are discussed in section 3.6. Schedules 4 and 5 of the Constitution of the Republic of South Africa, 1996 stipulate the legislative functional areas for national, provincial and local governments which overlap. However, in the interests of the effective promotion of consultation, communication, cooperation, coordination and collaboration in order to improve service delivery, including housing, the Intergovernmental Relations Framework Act (hereafter referred to as IGRFA) (13 of 2005) provides for cooperative government and intergovernmental relations structures that may be used by the three government spheres. Although, these three spheres of government are autonomous as a result of the democratic decentralisation governance model adopted, effective consultation, communication, cooperation, coordination and collaboration mechanisms are required to fulfil the housing provision of the Housing Act (107 of 1997). For the purposes of this study, consultation, communication, cooperation, coordination and collaboration are regarded as cooperative government and intergovernmental relations mechanisms. These mechanisms are discussed further in section 3.5. Olum (2014:37) is of the view that effective planning, accountability and good governance mechanisms are required in decentralised countries in order to promote democracy.

Democracy, according to Mpehle (2012:214), implies that citizens have the right to voice their opinions regarding issues that are of concern to them. However, voicing of issues cannot happen in a vacuum, Fernandez and Scheneirov (2014:1) are of the opinion that citizens should be involved in the development of policies that will meet their needs. This assertion justifies public participation as one of the requirements of decentralisation because decentralisation brings government closer to communities (Hadenuis 2003:13; Olum 2014:24). Public participation in decision making processes: (a) promotes political stability and national unity, (b) brings development closer to the people and (c) is regarded

as an outcome of the democratic struggles in most instances (Taole 2011:43-44). The majority of democratic countries have adopted a decentralised form of government because, as stated by Assiimu and Musisi (2007:2), decentralisation is aimed at bringing government decision-making processes close to communities in order to ensure the more effective and efficient delivery of basic services to all citizens. Kisembo (2006:vii) regards decentralisation as a full devolution of powers, functions, responsibilities and political powers (within legal frameworks) and accountability to lower government spheres. However, decentralisation, in essence, means the transfer of authority and service delivery responsibilities by government to a government sphere that is closest to communities and the empowerment of communities to become involved in policy development and implementation processes (Govender & Reddy 2013:79). There are different types and forms of decentralisation (Wittenburg 2003:5). According to Govender and Reddy (2013:80-81), some of the commonly used forms of administrative decentralisation include deconcentration, delegation, devolution and deregulation/privatisation. These forms of administrative decentralisations are further discussed in section 2.5.1. The three major types of decentralisation which are used internationally and, in particular, by the developing countries, in order to improve service delivery include administrative, political and fiscal decentralisation (Rao & Scott 2011:5-6).

In the South Africa context, administrative decentralisation refers to the transfer of authority, resources and responsibilities from central government to provincial and local governments. In most instances this is done through the deconcentration administration form. Deconcentration administration involves the distribution and allocation of central elected officials who are responsible for the other two (provincial and local) government spheres with the aim of providing public services directly from the national government sphere. Political decentralisation refers to the transfer of power from central government to provincial and local governments with local government representatives being elected by the local people. Political decentralisation supports democracy by giving citizens or their representatives more influence as regards their involvement in public policy formulation and implementation. It (political decentralisation) is sometimes referred to as

democratic decentralisation because it promotes public participation and enables citizens to be part of the decision-making processes of the government in power. Local governments are deemed to be accountable to the citizens, and not to central government, because the powers to make decisions, generate revenue and execute service delivery functions have been devolved. On the other hand, fiscal decentralisation refers to the transfer of financial and sometimes revenue-raising powers from central government to local government with revenue-raising functions and responsibilities being vested in the local governments. Fiscal decentralisation is the financial mechanism that underpins all forms and types of decentralisation because, without financial resources, it is not possible to execute powers (Hadenuis 2003:15; Crawford & Hartmann 2008:164; World Bank 2008:xi; Rao & Scott 2011:6).

These administrative decentralisation forms (deconcentration, delegation, devolution and deregulation) and types of decentralisations (administrative, political and fiscal) play an important role in broadening participation in political, economic and social activities and are further discussed in detail in section 2.5. As stated by the World Bank (2008: xi), decentralisation is the transfer of government functions to lower levels in multi-layered government spheres. In South Africa, local government is constitutionally mandated to: (a) give priority to the basic needs of communities, (b) participate in national and provincial development programmes, and (c) promote the social and economic development of communities (Ntonzima 2011:1011). In order to fulfil this mandate, municipalities are required to formulate Integrated Development Plans (hereafter referred to as IDPs). As stated by Gibbens (2008:3, 10 & 68), an IDP: (a) is regarded as an instrument of cooperative government and intergovernmental relation practices which are aligned to national and provincial objectives, (b) promotes intra-and-intergovernmental relations within municipalities and (c) requires the three government spheres to coordinate various activities in order to bring about development which will improve the living conditions of all citizens and address the needs and main concerns of communities. According to Latakomo (2011:2), the main purpose of the IDP is to foster more appropriate service delivery by providing a framework for economic and social

development that will be used by a municipality during the five-year term of office of the municipal council.

Section 26(1) of the Constitution of the Republic of South Africa, 1996, states that everyone has the right to have access to adequate housing while section 26(2) states that the state must take reasonable legislative and other measures within its available resources to achieve the progressive realisation of this right (South Africa. Constitution, 1996). Access to an adequate house is a right that applies to everyone who is a citizen of any country (Gallagher & Leckie 2006:292). According to Gallagher and Leckie (2006), an adequate house means adequate privacy, space, security, lighting and ventilation, basic infrastructure and location with regard to work and basic facilities and which are all provided at a reasonable cost. Thus, in terms of the latter statement, the three government spheres are responsible for making adequate houses accessible to all citizens. This is as a result of the fact that the three government spheres constitute the government, with the government being merely an agent of the state (principal) and used to formulate and execute its (state's/principal's) purposes or objectives (Denhardt & Denhardt 2011:103-104). The cooperative government and intergovernmental relations structures established in the three government spheres are required to fulfil the objectives of the state. These structures may also be used for consultation, communication, cooperation, coordination and collaboration purposes in order to address the housing challenges as mentioned in section 1.1.

The Republic of South Africa is a sovereign democratic state according to section 1 of the Constitution of the Republic of South Africa, 1996 (South Africa. Constitution, 1996). According to Berry, Goldman and Janda (2012:102), sovereignty means being supreme in power or authority. A state is regarded as democratic if there are free and fair elections and the citizens are given an opportunity to provide government with direction as to their needs. Authority in a democratic state is maintained by the rule of law which is founded on political accountability (Rose in Bernhagen, Haerfer, Inglehart & Welzel 2009:10-12).

According to Mubangizi, Namara and Nhlabathi (2013:790-791), accountability is one aspect of relationship building in government networks. This is because network government participants are jointly responsible for the functioning and results of their networking activities. Busuioc (2013:10) is of the view that accountability is one of the principles of good government. It is used interchangeably with terms such as transparency, visibility and participation. The administrators in departments are accountable for allocated programmes, projects and other public functions' budgets to legislatures and should avoid silo approaches in the execution of their public responsibilities (Khosrow-Pour 2005:98). Public accountability is one of the obligations of legislative authorities as regards explaining publicly, fully and fairly to the public the way in which funded responsibilities are carried out by departmental administrators (Madue 2014:863).

According to section 40 of the Constitution of the Republic of South Africa, 1996, government comprises the national, provincial and local spheres which are distinctive, interdependent and interrelated (South Africa. Constitution, 1996). These government spheres are the product of the incorporation of all previous administrations and fragmented local governments. Thus, government consists of institutions that make public policy decisions for society with the aim of, inter alia, providing for basic needs in respect of housing (Edwards, Lineberry & Wattenberg 2012:9 & 48). Section 41(2)(a) of the Constitution of the Republic of South Africa, 1996 states that an act of Parliament must establish structures and institutions to promote and facilitate intergovernmental relations (South Africa. Constitution, 1996). In order to advocate this, the IGRFA (13 of 2005) was promulgated to provide structures for promoting cooperative government and intergovernmental relations between the three spheres of government and governmental entities in order to improve services, including the delivery of housing services. These structures include the intergovernmental forum (hereafter referred to as IGF), President's Coordinating Council (hereafter referred to as PCC), Ministers and Members of Executive Councils (hereafter referred to as MinMECs), Premier's Coordinating Forum (hereafter referred to as PCF), Provincial Advisory Forums, Forum of Director Generals (hereafter referred to as FOSAD), Technical Committees, Mayoral Committees, Ward Committees, Integrated Development Plans and Community Workers Forums (Malan 2005:233; South

African Local Government Association 2011:42). Some of these structures are further discussed in detail in section 3.4. The delivery of basic services, including housing services such as water, electricity, sanitation, waste removal and waste disposal systems, is constitutionally vested in the local government due to its proximity to communities as well as the fact that it is the lowest sphere in the government hierarchy (Nemutanzhele & Nkuna 2012:361).

The former Department of Provincial and Local Government (now Department of Cooperative Governance and Traditional Affairs), hereafter referred to as CoGTA, developed the “implementation guidelines and guidelines on managing joint programmes for intergovernmental relations in South Africa” document to be used by government departments undertaking, among other things, joint programmes or projects in 2005. This guide was developed in terms of section 35 of the IGRFA (13 of 2005). According to section 151(1) of the Constitution of the Republic of South Africa, 1996, local government comprises municipalities. Section 155(1)(a-c) of the Constitution of the Republic of South Africa, 1996 provides for three categories of municipalities, namely, A, B and C municipalities (South Africa. Constitution, 1996). Category A municipalities are metropolitan municipalities that have exclusive authority to make rules over their area of jurisdiction while Category B municipalities include local municipalities that share authority with the district municipalities in which they fall. Category C municipalities refer to district municipalities that have the authority to administer and make rules in areas which include more than one local municipality. District municipalities share authority with the local municipalities within their areas of jurisdiction. The manner in which municipalities should be governed is determined by the Member of the Executive Council (hereafter referred to as MEC) for local government in the province (South African Local Government Association 2011:6).

Each municipality includes a municipal council that has both legislative and executive powers. The municipal council passes bylaws while the mayor and the executive mayor or the mayoral committee are responsible for formulating policies and overseeing the implementation of these policies. Municipal managers are responsible for the daily

administration of service delivery programmes and expenditures (Leon 2009:15). Local government had been transformed extensively before the introduction of the Constitution of the Republic of South Africa, 1996. The Local Government Transition Act (209 of 1993) and Act (200 of 1993) of the Republic of South Africa (Interim Constitution) provide for a local government system that does not discriminate between South African citizens on the basis of race (Du Toit & Van der Waldt 1997:241). According to Du Toit and Van der Waldt (1997), municipalities differ in terms of their economic circumstances, demographic relations, the physical nature of the areas of jurisdiction and other environmental conditions. Chapter 7 of the Constitution of the Republic of South Africa, 1996 provides for local government in South Africa to cater for all the citizens of the country while section 152(1)(b) of the Constitution of the Republic of South Africa, 1996 stipulates that local government must either provide services such as housing or create an enabling environment for basic services to be delivered to communities and ensure that these services are provided in a sustainable manner (South Africa. Constitution, 1996). Municipalities are responsible for ensuring: (a) effective and efficient service delivery and (b) the delivery of basic services such as housing. Isaacs-Martin (2009:146) is of the view that the national government is facing the challenge of delivering basic municipal services to communities as a result of either the slow response or inaction on the part of municipalities in respect of community needs.

If municipalities are to respond positively to the needs of the communities, Leon (2009:19) suggests that municipal wards should be used because they are: (a) important instruments of local democracy and (b) frequently in touch with the communities. One of the communication tools used by municipalities to communicate communities' needs is the IDP (Vatala 2005:225). This is affirmed by Asha and Madzivhandila (2012:370) who maintain that community participation should be central in the development of IDPs so as to enable communities to identify their needs and also prioritise urgent needs. The Municipal Systems Act (32 of 2000) requires municipalities to develop IDPs that set out the visions, needs, priorities, goals and strategies of municipal councils for their five (5) year term in office and, as stated above, jointly with all stakeholders. Stakeholders are groups and individuals who are involved in decision-making processes (Tau 2013:156).

The roles of stakeholders in the execution of government functions are further discussed in section 3.2.2.1. In most instances, services are rendered by various departments in the three spheres of government (Olivier & Wasserfall 2009:147). For example, for the development of a sustainable human settlement area, roads, schools, water, electricity, health services and public transport, among other things, must be supplied by different departments within the three government spheres. According to the Bushbuckridge Local Municipality's 2012–2013 IDP, fifty (50) houses were built at Thulamahashe C in ward thirty one (31) during the 2012/2013 financial year under the Construction of Youth Houses 50 Project, Project ID BLMHL005. It should be noted that the Construction of Youth Houses 50 Project is the name of a housing project that caters for the youth, orphans, disabled people and overcrowded (big) families. This information was obtained by probing during the face-to-face interviews conducted. Youth, orphans, women, elderly and disabled people are regarded as the most vulnerable groups (Maphazi, Mayekiso & Taylor 2013:193).

The funds for this project were sourced from the National Treasury (formed by merging the Department of State Expenditure and Department of Finance in early 2002) with the Mpumalanga Provincial Department of Human Settlements (hereafter referred to as MPDHS) as the agent responsible for housing project implementation. In order to meet the objectives of this housing project effectively, proper cooperative government and intergovernmental relations structures were needed because the implemented housing project was regarded as a multi-stakeholder project (hereafter referred to as MSP). A multi-stakeholder project is the project that involves interaction between government institutions, citizens, private organisations and civil organisation, such as non-government organisations (NGOs) in most instances (Abate & Stel 2014:1). This housing project per se is not discussed in this study because it was used only to determine the adequacy of the houses provided by interviewing the project beneficiaries and the three spheres of government were involved in the implementation of this project. The involvement of the three government spheres in the implementation of the housing project justified effective consultation, communication, cooperation, coordination and collaboration between the three spheres of government using some of the above mentioned cooperative government

and intergovernmental relations structures. However, the results, which are discussed in chapter 5, revealed that the three government spheres worked jointly only during the housing launches and the implementation of housing projects in the Bushbuckridge Local Municipality (hereafter referred to as BLM).

These results of the empirical study were also used to provide the theoretical and practical contributions of the study. Recommendations on a practical basis were formulated while, on a theoretical basis, the consultation, communication, cooperation, coordination, collaboration, housing and public participation models or frameworks used by one or all sampled decentralised democratic governments to promote good government and improve service delivery were discussed. The discussion produced an accountability model which is discussed in section 7.2.1. This accountability model may be used by the BLM to: (a) promote cooperative government and intergovernmental relations, (b) provide the BLM citizens with an opportunity to hold service delivery agents and government officials accountable for their actions, (c) promote public participation, (d) provide an ideal opportunity to citizens to understand how the three government spheres operate, (e) alleviate the high rate of service delivery protests and demonstrations, (g) improve the quality of services in order to achieve the outcomes of NDP vision 2030 and (h) detect corrupt activities. The democratic countries discussed were Germany, South Korea, Tanzania and Uganda. These countries were selected because: (a) they also have multi-layers government systems and (b) their delivery of basic services, including housing, is vested with their local governments. For the purposes of this study, houses are referred to public houses which are provided by the democratic government and the words housing and houses are used interchangeably. Government and governance are also used interchangeably because governance stems from democratic government processes (Gibbens 2008:40). Cooperative government, intergovernmental relations and adequate housing are briefly discussed below.

1.2.1 Cooperative government

In order to promote the good governance which is one of the principles of cooperative government (Coetzee 2010:85), it is incumbent for all government spheres and state organs to cooperate with one another in mutual trust and good faith by fostering friendly relations and assisting each another (Levy & Tapscott 2001:8). Good government implies that the citizens are satisfied with the procedures and processes which are being used by the government to provide solutions to their service delivery problems and to meet their needs and wants. However, in democratic countries such as South Africa, a good government system or practice implies that: (a) the citizens participate in the decision-making processes, (b) services are delivered effectively, (c) the rights of the citizens are respected and (d) the government is transparent, accountable and productive. This, then ensures that the political, social and economic priorities are based on consensus between the citizens and the government and quality resources may be allocated equally through administrative systems and practices which deal with policy implementation, among other things (Agere 2000:5-7). This view is affirmed by Farvacque-Vitkovic and Kopanyi (2014: xxviii) who maintain that improved government practices and enhanced accountability mechanisms are central to both good government and effective municipal management.

Constitutionally, good governance is vested with the Public Service Commission (hereafter referred to as PSC) as provided by section 196 of the Constitution of the Republic of South Africa, 1996. This is because the PSC is mandated to promote the basic values and principles of public administration, as stipulated in section 195(1)(a-i) of the Constitution of South Africa, 1996 within the three government spheres (South Africa. Constitution, 1996). In the housing context, these basic values and principles of public administration justify effective cooperative government and intergovernmental relations as well as the involvement of all housing stakeholders. In South Africa, public administration practices and systems are aimed at promoting a good life for all citizens (Sindane 2007:217). However, this is possible only if the three spheres of government

operate interdependently and in an interrelated manner in order to promote cooperative government. Cooperative government is a partnership between these three spheres despite the fact that each sphere is distinctive, autonomous and has a specific housing service delivery role to fulfil (Edwards 2008:67).

According to Du Toit in Doyle, Du Toit, Knipe, Van der Waldt and Van Niekerk (2002:64), governance implies: (a) actions undertaken to improve the general welfare of society by delivering services, (b) a reflection of the determined priorities by departments, for example, the National Department of Human Settlements (NDHS) is responsible for reflecting the total number of houses prioritised for those citizens who are unable to provide houses for themselves, (c) a connection between the three government spheres and (d) good, stable, regular connections and interactions between authorities and officials in all government spheres and the citizens they serve in order to promote responsiveness. Du Toit in Doyle, *et al.*, (2002:64) is of the view that responsiveness is an indication of proactive decisions and actions which may be promoted through the use of various community forums in order to promote good government. Good government: (a) reduces corruption and improves transparency in the execution of government activities, (b) implies making decisions that may objectively solve policy problems identified directly, (c) ensures the extent to which decision-making process is open and democratic and (d) provides for the political assessment of the success of decisions made in respect of attaining the goals set. The dimensions of governance include: (a) voice and accountability, (b) political stabilisation of violence, (c) government effectiveness, (d) regulatory quality, (e) rule of law and (f) control of corruption (Peters in Bevir 2011:84). Thus, cooperative government may be said to refer to the cooperation between government spheres in delivering public services to communities (Great Britain. House of Commons 2012:3). Good government is discussed further in section 2.4.

1.2.2 Intergovernmental relations

Interaction plays a vital role in any relationship (Dale & Mason 2011:29). This is also attested to by Kahn, Kalema and Madue (2011:5) who state that intergovernmental relations imply the forms of interaction between: (a) various spheres of government (vertical interaction) and (b) equal governmental jurisdictions (horizontal interactions) within a given state. Coordination and cooperation are the main objectives of intergovernmental relations. Other elements of intergovernmental relations include: (a) interventions, (b) directions and control by higher levels of government, and (c) consultation between all spheres of government, both horizontally and vertically. However, these elements (intergovernmental relations) do not always enhance coordination and cooperation because they may be exploited to either reinforce the control of one sphere of another or to promote the dependence of lower spheres on the higher spheres as regards assistance and support. According to Choi and Wright (2004:2), intergovernmental relations originated in the United States (US) in the 1930s as a means of describing major shifts in the content of the relationships between officials holding important policy-making posts in the numerous and various government departments or jurisdictions. This view is supported by Mathebula (2011:850) who states that intergovernmental relations comprise the interactions between government officials in government spheres and state organs. Organ of state, according to section 239 of the Constitution of the Republic of South Africa, 1996, refer to any state department or administration in the national, provincial and local government spheres or any other institution performing a function in terms of: (a) the Constitution, (b) provincial constitutions and (c) any legislation excluding courts or judicial offices (South Africa. Constitution, 1996).

Intergovernmental relations play a vital role in a multi-sphere political system because they ensure cooperation between the spheres of government and state organs. In the South African context, intergovernmental relations require the three spheres of government to

work in partnership and to constantly communicate with one another to ensure that the needs of citizens at local level are taken into account at the national and provincial sphere decision-making levels (Edwards 2008:68). As stated by Robson (2006:53), intergovernmental relations and cooperative government are important because more than one sphere of government is involved in major public functions. This is affirmed by Mathebula (2011:850) who states that intergovernmental collaboration and cooperation between the three government spheres ensure that national housing development projects and other national programmes are successful. However, it should be noted that the success of national programmes also depends on the participation of the beneficiaries of such programmes or the public and which, in turn, builds good relationship with the government. This is due to the fact that public participation plays an important role in service delivery because: (a) communities are given the opportunity to identify their own development and service delivery needs, and (b) municipal councillors are able to encourage participation through ward committees and attendance at scheduled public meetings (Edwards 2008:69). This is also highlighted by Mubangizi, *et al.*, (2013:777) who state that all government spheres in multi-level governance systems should embark on the network governance which: (a) contributes to service delivery, (b) coordinates challenges and (c) promotes sound intergovernmental relations and effective collaboration across the different spheres of government, private sector and civil societies. Network governance is further discussed in section 3.2.1.

The categories of government relations include: (a) intra-governmental relations (relations within a government sphere), (b) intergovernmental relations (relations between government spheres) and (c) extra-governmental relations (relations between government spheres and the public) (Gibbens 2008:52). This is confirmed by Kahn, *et al.*, (2011:11-12) who state that the three types of government relations which are widely used in democratic countries include: (a) intergovernmental relations which take place between government institutions and which also include (i) vertical intergovernmental relations which take place between governmental institutions in different government spheres and (ii) horizontal intergovernmental relations which take place between authorities in the

same government spheres (b) intragovernmental relations which take place within government institutions and (c) extragovernmental relations which take place between government and communities. Intergovernmental relations are apparent and major considerations in the design of professional development opportunities and daily practices and, in particular, in intergovernmental networks because: (a) efforts are concerted as regards the exchange of resources, pooling of resources and coordinating actions and (b) intragovernmental relations play an important role in the design and execution of public policy and public service delivery – this is described as joined-up government (Koliba in Meek & Thurmaier 2012:70-71 & 73). According to Kahn, *et al.*, (2011:73), the National Council of Provinces (hereafter referred to as NCOP) is one of the cooperative government and intergovernmental relations instruments in South Africa. The NCOP is further discussed in section 3.3. Figure 1.1 below illustrates some of the cooperative government and intergovernmental relations structures in each government sphere and which could be used by officials to promote cooperative government and intergovernmental relations in order to improve housing service delivery and promote good government in the Bushbuckridge Local Municipality:

Some of the cooperative government and intergovernmental relations structures in South Africa's government spheres that may be used to improve housing delivery

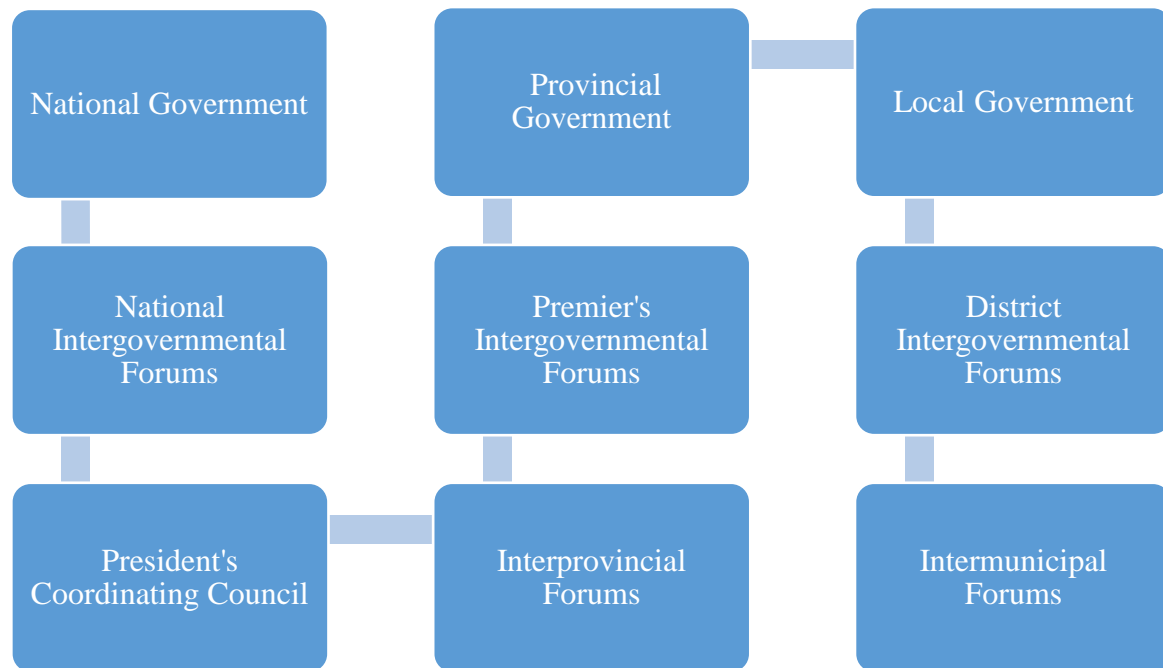


Figure 1.1: Illustration of some of the cooperative government and intergovernmental relations structures within the three government spheres

Compiled by the researcher, 2016

The block lines in Figure 1.1 serve a dual purpose. Firstly, they represent the intergovernmental relations between the three government spheres and which must always be maintained in order to improve services, including housing services. Secondly, they indicate a joined-up government system. This implies that any service delivery challenge may be effectively addressed, regardless of the government sphere from which it emanates. The three common models of intergovernmental relations are: (a) coordinate authority which depicts a clear separation between national, provincial and local relationships,

including the distinct boundaries separating the government spheres, (b) inclusive authority which presents a system in which intergovernmental relations are based on essentially a hierarchical set of relationships and which emphasises the predominant role of the national level, and (c) overlapping authority which presents IGR as a set of overlaps between the national, provincial and local government spheres (Agranoff & Radin 2014:2). The provision in section 40(1) of the Constitution of the Republic of South Africa, 1996, which declares the three government spheres to be distinctive, interdependent and interrelated, justifies the overlapping authority model. In addition, more than one government sphere is involved in delivering major public functions such as housing as mentioned previously in this study and district municipalities share authority with local municipalities.

Some of the characteristics of this overlapping model include: (a) the execution of some functions and authorities by national/federal, provincial/state and local government spheres and (b) autonomy in each government sphere although this does not imply total independence because these spheres are all dependent on each other in the execution of the public functions such as housing delivery (Holzhacker, Wittek & Woltjier 2016:115). Although each government sphere may dominate the other spheres on certain issues not one of the government spheres predominates in all instances in the overlapping authority model. Schedules 4 and 5 of the Constitution provide for dominant issues as pertaining to each or else two government sphere/s. This model requires all public managers in all government spheres to work together in policy development and policy implementation. According to Burke (2014:66), firstly, the coordinate authority model is constitutional and legally based. Section 41(h)(iv) of the Republic of South Africa, 1996 requires the three government spheres to cooperate with one another in mutual trust and good faith by coordinating their actions and legislation (South Africa. Constitution, 1996). However, the coordination of actions is sometimes hampered by the provision in section 43(a)-(c) which grants legislative authority to the three government spheres. This is in view of the fact that legal authority allows each government sphere to initiate, formulate and implement its own public policy, this results in that particular sphere making its own decisions, commitments

and actions (Pynes 2011:85). In order to place more emphasis on the Comprehensive Plan for the Development of Sustainable Human Settlements (Breaking New Ground) and the IGRFA (13 of 2005), municipalities have administrative authority over national housing programmes through coordinated development (horizontal integration). This, then, implies that municipalities may coordinate decisions relating to: (a) the broader sustainability of human settlements and (b) opportunities for the application of innovative planning principles which contribute to the potential development of integrated and sustainable human settlements within the municipal jurisdictions (National Department of Human Settlements 2012:7). Secondly, according to Burke (2014:66), in terms of the inclusive authority model, the national government sphere wields power over provincial government sphere while the provincial government has power over the local government sphere. In essence, intergovernmental relations require all government spheres (national, provincial and local in the South African context) not to influence each other but to cooperate and interact in order to achieve common goals.

Government spheres should use these relations as mechanisms of consultation, communication, cooperation, coordination and collaboration (Holzhacker, *et al.*, 2016:115). However, the cadre deployment policy of the ruling party in South Africa and which deploys loyal and trusted members to serve in various structures (Tshishonga 2014:893) may be regarded as a manifestation of the inclusive model as warned earlier by Wright (1988:17). According to Wright (1988:17), in terms of this model, there are no relationships between the government spheres but, rather, relations between the officials who govern the various government units with a particular purpose. The main purpose of the cadres is to commit themselves to the delivery of the policy objectives of the African National Congress (hereafter referred to ANC) which is the ruling party. However, this, in turn, hamper the cooperative government and intergovernmental relationships which require the various government institutions to promulgate policies aimed at social, economic and political developments, among others (Tshishonga 2014:893 & 896). The intergovernmental relations models are depicted below:

Coordinate authority model

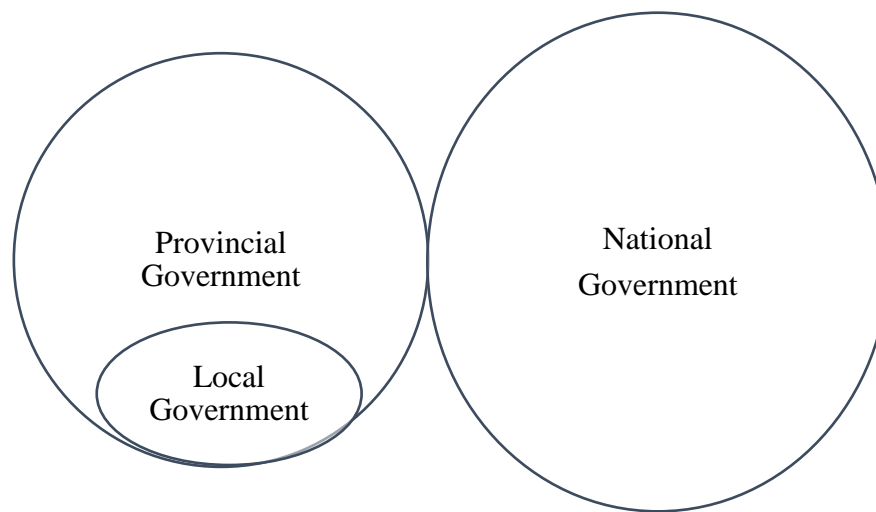


Figure 1.2: The coordinate authority model

Adopted from Deil Wright (1988) and modified by the researcher, 2016

The next figure depicts the overlapping model. As mentioned above, this overlapping model provides for government spheres to be interdependent. This study focused on the effectiveness of the cooperative government and intergovernmental relations structures as regards the provision of adequate housing by the three government spheres. Although housing is one of the concurrent functions of the national and provincial government spheres, according to schedule 4, part A of the Constitution of the Republic of 1996, a house may not be declared adequate without services such as water, sanitation, electricity and sewerage disposal systems, as provided for in part B of this schedule. The authority pattern of the overlapping model is that of bargaining. Bargaining in the IGR context, involves exchanges and agreements. For example, the national government may provide housing programme assistance to the provincial and local government spheres in exchange for signed agreements in respect of the implementation of the programme and the

execution of all housing project activities (Wright 1988:40 & 49). In the interests of the effective execution of national programme and project activities, all government spheres are obliged to negotiate, bargain, establish agreements and develop collaboration mechanisms (Wright 1999:4). Holzhaacker, *et al.*, (2016:115) concur with this by stating that power relations in the overlapping authority model are based on bargaining. The adoption of the Growth, Employment and Redistribution (hereafter referred to as GEAR) Strategy/Policy as discussed in chapter 2 requires establishment of agreements which are sealed in contracts.

Overlapping authority model

N = National Government, P = Provincial Government, L = Local Government

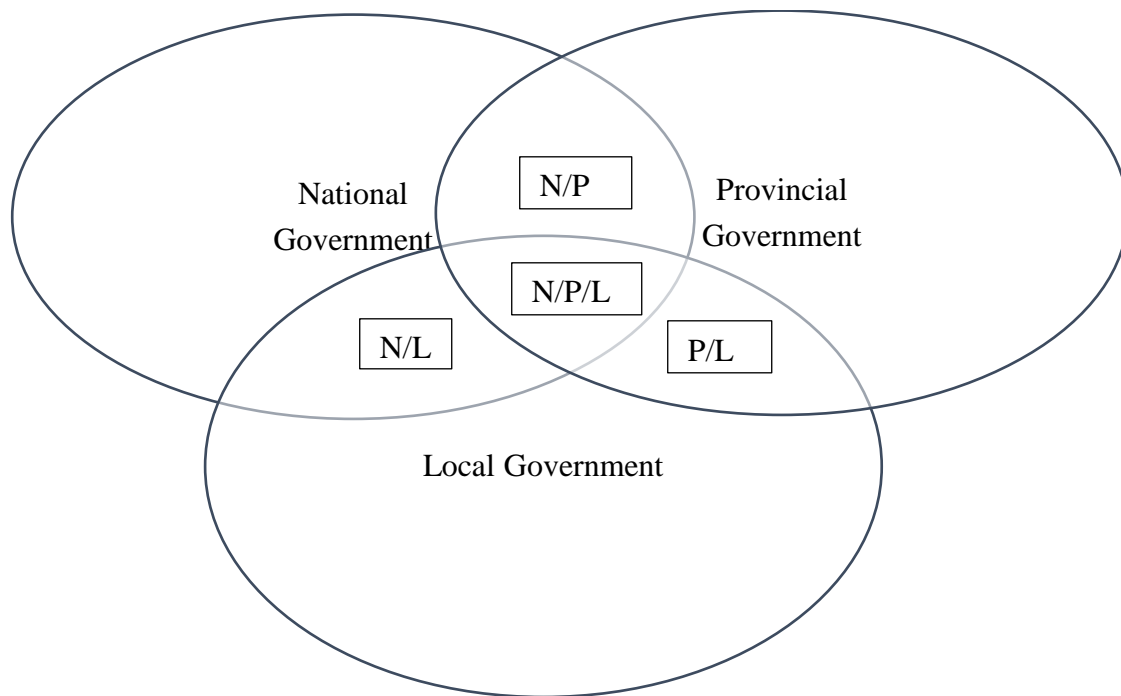


Figure 1.3: The overlapping authority model

Adopted from Deil Wright (1988) and modified by the researcher, 2016

The principal-agent model requires the formulation of agreements which are sealed in the contracts. This agent model requires principals and agents to sign delivery agreements, for example, ministers and the President sign performance agreements in South Africa. In this context, the President may be regarded as the principal and the ministers as the agents. The inclusive authority model which highlights the dominant of the national government is depicted in Figure 1.4.

Inclusive authority model

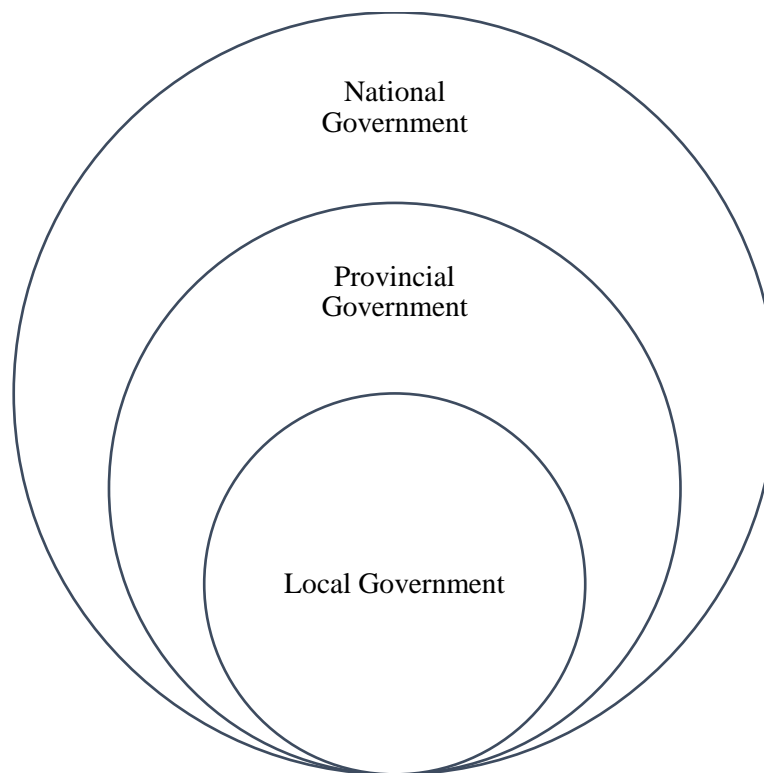


Figure 1.4: The inclusive authority model

Adopted from Deil Wright (1988) and modified by the researcher, 2016

1.2.3 Adequate housing

Adequate housing and services are basic human rights which place an obligation on governments to ensure that these basic rights are upheld for all, including direct assistance to the least advantaged. The effectiveness of the Human Settlements Development Grant (hereafter referred as HSDG) is impacted negatively upon, firstly, by a number of different diverse sectoral infrastructure grants which are intended to contribute to the delivery of sustainable and liveable human settlements such as the Integrated National Electrification Programme, Neighbourhood Development Partnership Grant and Regional Bulk Infrastructure Grant. However, these grants (infrastructure grants) are currently segmented and affect housing delivery. Secondly, there is a need for both alignment and sequencing in the implementation of infrastructure related grants. Research conducted by the Community Law Centre (CLC) revealed that there is no “waiting list” as is widely understood by members of the public or even politicians and government officials but, instead, there is a range of complicated and contradictory policies and systems which are used to respond to housing needs. The range of systems in the National Housing Needs Register (NHNR) include demand databases, more haphazard (disorderly) methods which have little to do with the period waited for a house and internationally adopted community-based allocation methods which are ineffective when used locally. Entry points into the state housing system range from: (a) being evicted or displaced by a natural disaster, (b) applying for a house and being granted a house in a greenfield housing project and (c) being accepted into a social housing scheme or in-situ upgrading of an informal settlement. The National Department of Human Settlements does not receive the housing information from either housing entities and/or the provincial housing departments (South Africa. Parliament of the Republic of South Africa 2014d: 6-8).

The right to decent housing is a human right that was recognised in 1948 in the Universal Declaration of Human Rights and affirmed by the Vancouver Declaration of Human Settlement in 1976 (Cheserek & Opata 2011:320). As stated by Maoba, Masike and Mzini

(2013:161), good governance is one of the principles underlying the housing vision because this vision is underpinned by the principles of sustainability, integration and equality. A house must provide sanitary facilities, stormwater drainage, a household energy supply, clean water, secure tenure, protection from the extremes of the weather, stability and privacy (Beets & Van Niekerk 1990:69; Maylam 1995:265). The South African democratic government initiated several policies on the economy, housing, infrastructure and physical development when it came into power in 1994 in an attempt to redress the imbalances of the past, for example, the 1994 Housing White Paper that produced a housing framework that resulted in the promulgation of the Housing Act (107 of 1997). The Housing Act (107 of 1997) defines the housing functions and responsibilities of each government sphere, including the provision and facilitation of sustainable housing development processes (South Africa. Housing Act, 1997). Some of these functions are discussed in section 3.6.

The minimum standard of an adequate house includes: (a) security of tenure so that occupants have legal protection against forced evictions, harassment and other threats, (b) availability of services, materials, facilities and infrastructures so that occupants have safe drinking water, adequate sanitation and electricity in addition to other basic housing services, (c) affordability so that occupants are able to meet their other basic needs after their rental payments, if any, (d) habitability in the sense that the house provides adequate space as well as protection against cold, damp, wind, heat and rain, (e) ensuring the occupants' needs are met, (f) a location near to employment opportunities, health care services, schools, parks and other social needs and (g) cultural adequacy in respect of cultural identity – this is particularly relevant in rural areas where the land belongs to the chiefs (United Nations High Commissions for Human Rights 2009:4; Cheserek & Opata 2011:320). For the purposes of this study, all these factors ((a)-(g)) are regarded as housing services because outcome 8 of the NDP focuses on creating sustainable human settlements and an improved quality of household life. This is possible if the housing services mentioned above are provided. As reported in Parliament on 17 July 2014 by the late Minister of the Department of Public Service and Administration (hereafter referred to as

DPSA), Mr Collins Chabane, the democratic public administration government system strives to deliver on all the objectives outlined in the NDP in order to realise the national strategic objective of building a united, democratic, non-racial and a prosperous country. If this is to be achieved, the state should be well run with effective, coordinated state institutions in place and skilled public servants who are committed to serving the citizens (South Africa. Parliament of the Republic of South Africa 2014a:4-5). The establishment of an effective intergovernmental structure that would be responsible for identifying public issues before they developed into major crises was proposed before Parliament. This structure would involve a collaborative partnership between the DPSA, Presidency, the Department of Monitoring and Evaluation (hereafter referred to as DPME), National Treasury, Auditor-General, PSC and CoGTA (South Africa. Parliament of the Republic of South Africa 2014a:7-8).

However, Mamobolo and Moyo (2014:947) argued that there is no available capacity to transform South Africa's society by redistributing wealth equally and enhancing the access of all citizens to productive resources through the NDP. Nevertheless, this problem could be alleviated by ongoing communication between all the NDP coordinators and a joint revision of the NDP outcomes. Development planning is one of the instruments for long-term developments, including housing developments and specifically in many African countries. Collaboration as one of the cooperative government and intergovernmental relations mechanisms highlighted in this study is further discussed in section 3.5.5. It should also be noted that decentralisation and intergovernmental relations are useful tools in implementing and managing developments (Huque & Zafarullar 2012:288). Development is discussed further in section 3.6. The four (4) outputs of outcome 8 include (a) accelerate delivery of housing opportunities, (b) access to basic services, (c) efficient utilisation of land for human settlements development, and (d) improved property market, justify the need for cooperation and intergovernmental relations between the Ministers of the Departments of Human Settlements, Cooperative Governance and Traditional Affairs, Public Works, Public Enterprises, Rural Development and Land Reform, National Treasury, Provincial MECs and the banking sector as per the provision of the IGRFA (13

of 2005). The beneficiaries of the housing programmes should be informed that they may not sell a state-subsidised property within eight (8) years of occupation, unless the property is first offered to the state (South Africa. Parliament of the Republic of South Africa 2014d:2). The Vancouver Declaration on Human Settlements conference, held between 31 May and 11 June 1976, recognised that the condition of human settlements largely determines quality of life. Improved quality of life is a prerequisite for the full satisfaction on basic needs such as employment, housing, health services, education and recreation (South Africa. Parliament of the Republic of South Africa 2014d:6).

1.3 Importance of the study

According to Banjo and Jili (2013:259), the houses provided to residents in Mpumalanga Province by the Mpumalanga Provincial Department of Human Settlements (MPDHS) were of poor a quality. However, the results of the empirical study conducted for this study, revealed that the houses provided demonstrated some elements of an adequate house such as: (a) clean drinking water, (b) electricity, (c) adequate sanitation, (d) access to shops, (e) access to employment opportunities, (f) access to schools, and (g) access to health services. These all contribute to outcome 8 of the NDP. It is important that the findings of research studies should contribute to or improve lives of citizens because these results provide a basis for both political and practical decision processes (Flick 2011:4). In addition, researchers should also explain why their research studies are important (Leedy & Ormrod (2014:46). The NDP aims to: (a) guide development, (b) eliminate poverty and (c) reduce inequality by 2030 (Mamobolo & Moyo 2014:948). Seidman (2013:iii) is of the view that social science researchers must confront social problems and not contribute to them. In most instances, research results do lead to an improvement in public functions. Public functions in the South African context, imply the activities which are performed by national, provincial and local government spheres in order to satisfy a specific need of a particular community which has been identified (Robson 2006:1). This study focused on the effectiveness of cooperative government and intergovernmental relations structures in

each government sphere as regards the provision of adequate housing and using, inter alia, the BLM as the case study. The three spheres of government were involved in the implementation of the Construction of Youth Houses 50 Project at Thulamashe C in ward 31.

1.4 Purpose of the study

The fundamental goal of research studies, particularly in Public Administration and Management disciplines, is to make local government more effective and national government more efficient (McNabb 2010:xvii). The promotion of cooperative government and intergovernmental relations should improve the quality of the services, including housing, which are delivered to communities. Government departments in all the government spheres are supposed to deliver community services jointly instead of operating in silos (Naude & Nealer 2011:105). In addition, the allocated budgets should benefit the targeted beneficiaries and also minimise duplications in the funding of projects by government departments and donors. It is anticipated that the results of this study will assist the Bushbuckridge Local Municipality to determine whether the houses provided to ward 31 (Thulamahashe C) are in line with the objectives of outcome 8 of the NDP. The NDP Vision 2030 was approved by cabinet in 2010 (Booyesen, Essink, Kuiper, Maredi, & Mokwebo 2010:17; The Presidency 2010:6).

The use of cooperative government and intergovernmental relations structures should also be improved by the results of this study. Furthermore, the results will provide practical and theoretical contributions to the BLM, as mentioned in section 1.2. One of the principles of the Performance Management System Framework of the Bushbuckridge Local Municipality is that of cooperation while one of the objectives of the Communication, Marketing and Events Coordination Unit of the BLM is to enhance intergovernmental relations through communication and the coordination of activities, programmes and

projects between the three spheres of government (Bushbuckridge Local Municipality 2012-2013:52). However, this unit did not use the cooperative government and intergovernmental relations structures provided by the IGRFA (13 of 2005) to address the housing challenges at the BLM and to overcome these challenges.

1.5 Problem statement

The houses built in South Africa more recently are reported to be defective and they do not conform to the expectations of adequate housing (Emuze, Smallwood & Zunguzane 2012:19), while with the number of housing service delivery protests and demonstrations is escalating (Draai & Oshoniyi 2013:867). Draai and Oshoniyi (2013) are of the view that, before the inception of democracy, service delivery protests and demonstrations focused on improved services and equality for all as currently experienced despite the availability of the cooperative government and intergovernmental relations structures established. Section 41 of the Constitution of the Republic South Africa, 1996, provides for the principles of cooperative government and intergovernmental relations in respect of the three spheres of government.

Section 152(1)(e) of the Constitution of the Republic of South Africa, 1996, requires local government to encourage the involvement of communities and community organisations in local government matters (South African Local Government Association 2011:4). However, Banjo and Jili (2013:264) maintain that housing service delivery protests and demonstrations are a reflection of the non-adherence of the three spheres of government to the principles of cooperative government and intergovernmental relations, and not just the failures of local government because all three government spheres are required to coordinate in order to meet housing service delivery challenges as well the challenges involved in the delivery of other services. Mubangizi, *et al.*, (2013:781) concur with this when they state that housing is one of the services that require functional

intergovernmental relations with input from all three spheres of government. By so doing, cooperative government, as the obligation of the three spheres of government to trust, support and assist one another in coordinating housing service delivery, among other things, to the communities, will be promoted (Mathebula 2011:840). Cooperative government is facilitated by intergovernmental relations which require that the three spheres of government work in partnership and constantly communicate with one another to ensure that the needs of citizens at the local level are taken into account when public decision-making processes are initiated in the national and provincial government spheres (Edwards 2008:68). Based on the housing service delivery problems mentioned above, this study focused on answering the following main research question and also the research sub-questions:

How are the cooperative government and intergovernmental relations structures utilised by the three spheres of government to improve housing service delivery in the Bushbuckridge Local Municipality (BLM)?

Sub-questions

- What are the reasons for the three spheres of government appearing to operate in silos when delivering housing services in the BLM?
- How effective is the model of democratic decentralisation in providing housing services in the BLM?
- Which structures were used by the Bushbuckridge Local Municipality to involve the beneficiaries of the Construction of the Youth Houses 50 Project, Project ID BLMHL005 in the initiation and implementation phases of the project?
- How adequate are the provided houses in the BLM (Thulamahashe C, ward 31)?

In order to address the above mentioned research questions, the following research objectives were formulated. It should be noted that, as stated by Kumar (2011:50), research

objectives transform the research questions into behavioural aims by using action-oriented words and informing the reader of what the researcher wants to achieve.

1.6 Objectives of the study

As stated in section 1.5, the following research objectives were formulated in order to assist in addressing the above mentioned research questions:

- To determine whether the established cooperative governance and intergovernmental relations structures are being used effectively by the three spheres of government to improve housing service delivery in the BLM.
- To critically review existing literature on cooperative government and intergovernmental relations in order to understand the causes or reasons why the three spheres of government appear to be operating in silos when delivering public housing services in the BLM.
- To determine whether the democratic decentralisation model improves public housing service delivery in the BLM.
- To develop a housing development framework/model that could be used by the three government spheres to provide adequate housing in the BLM.

1.7 Research scope and demarcation of the study

In view of the fact that: (a) the funding for the Construction of Youth Houses 50 Project, Project ID BLMHL005 was sourced from National Treasury which falls within the national government sphere, (b) the project was implemented by the Mpumalanga Provincial Department of Human Settlements which falls within the provincial government sphere, (c) the houses were built in the Bushbuckridge Local Municipality which falls within the local government sphere, it was possible to determine the use of the

cooperative government and intergovernmental relations structures successfully. This was because the three spheres of government had been involved in the implementation of the above mentioned housing project. However, the study results revealed that each government sphere was executing its mandatory housing function individually. The IGRFA (13 of 2005), which provides for the cooperative government and intergovernmental relations structures, was promulgated in 2005 to ensure that the cooperative government and intergovernmental relations principles, as stipulated by section 41(1) of the Constitution of the Republic of South Africa, 1996, are adhered to by the three government spheres. This study focused on the use of the cooperative government and intergovernmental relations structures as regards delivering adequate houses from 2005 to 2016. The Bushbuckridge Local Municipality constituted the case which was investigated in this study. The BLM is one of the local municipalities that falls within the Ehlanzeni District Municipality in Mpumalanga Province.

1.8 Limitations and delimitation of the study

Limitations in research studies refer to those factors that may hamper a research study (Creswell, Ebersson, Eloff, Ferreira, Ivankovo, Jansen, Nieuwenhuis, Pietersen, Plano-Clark & Van der Westhuizen 2007:42; Kumar 2011:236-237; Andres 2012:193). A transgression of research ethics may also limit a research study if the researcher did not obtain permission to conduct the study from the head of the institution in question. The ethical committees of universities, departments and institutions require researchers to supply consent forms to research participants before they are interviewed (Blaxter, Hughes & Tight 2010:164). In this study, all participants signed consent forms before they were interviewed. The ethical considerations in research are discussed below and then further in section 4.7 of the study. It is incumbent on researchers to state precisely what the study intends to cover and the reasons for doing so in order to delimit their studies (Leedy & Ormrod 2014:43). Simon (2011:2) is of the view that researchers must include the criteria

involved in the selection of the participants, geographic region covered in the study and profession or organisation involved.

In view of the fact that Intergovernmental Relations Framework Act (13 of 2005) provides few cooperative government and intergovernmental relations structures, the researcher deemed it fit to incorporate additional critical structures which are responsible for promoting cooperative government and intergovernmental relations. All the cooperative government and intergovernmental relations structures are discussed in section 3.4. The researcher conducted face-to-face interviews with the sampled beneficiaries using semi-structured questionnaires in order to determine whether the houses provided were adequate. The targeted beneficiaries had participated in the process from the planning to the completion phases of the housing project implemented. The reason for this was primarily because the participation of communities in matters which involve their needs is one of the elements of cooperative government, intergovernmental relations and decentralisation (Hadenuis 2003:13). The target population for this study consisted of all the ward councillors in the BLM. The unethical behaviour of some of them (see Table 6.1) was one of the limitations of this study. The non-responsiveness of the officials of the MPDHS to the data collection requests after the acting Head of Department (hereafter referred to HOD) had granted the researcher permission to conduct the study in 2014 and the HOD had re-granted permission in 2016 severely delayed and limited the study – as explained in section 6.6. The MPDHS was supposed to provide the documents which would be used as secondary data as the MPDHS had been the implementing agent of the housing project under study. The low literacy level of most of the ward councillors interviewed and as observed by the researcher also limited the study because each cooperative government and intergovernmental relations structure covered in the semi-structured questionnaire had to be described and explained in depth before the majority of the ward councillors interviewed could answer the questions. This justifies a review of the cadre deployment policy of the ruling party (ANC).

1.9 Ethical considerations

In order to conduct this research study in an ethical way, the researcher requested permission to conduct the study from both the BLM and the MPDHS. This permission was granted – see Annexure B. It is imperative that researchers uphold research ethics in order to avoid disapproval of their research studies. The reason for this is because, as stated by Kliem (2012:2), ethics distinguishes good from bad and assists human beings to choose right over wrong. Ethics involve an agreement as regards what is regarded as wrong or right by a group of people living together. This agreement then serves as a guide to their daily, ethical behaviour (Babbie & Mouton 2011:520). For example, every public servant in South Africa is expected to adhere to the provisions of the Explanatory Manual on the Code of Conduct for the Public Service: A Practical Guide to Ethical Dilemmas in the Workplace guide developed by the Public Service Commission in 2002 in order to promote good government in the public sector. Professions, including the social sciences, are also guided by a code of ethics with each profession having its own code of conduct. Researchers in each profession are required to conduct their research practices ethically (Kumar 2011:241-242). It should be noted that ethical issues apply to the entire process of research and interviews. These ethical issues include matters of privacy, confidentiality, voluntary participation and anonymity, among others (Rallis & Rossman 2012:74). These ethical issues are further discussed in section 4.7.1.

In this study, ethical issues such as privacy, confidentiality, voluntary participation and anonymity were included in both the semi-structured questionnaires and the informed consent forms. Gerring (2012:167) maintains that ethical issues relate to the protection of the rights and privacy of individuals and the avoidance of harm. Participants should be provided with informed consent forms before they are interviewed to serve as proof that they participated in the research study voluntarily (Andres 2012:94). Universities, departments and institutions have research committees in place that approve research proposals before researchers commence with their research studies (Blaxter, *et al.*,

2010:167; Babbie & Mouton 2011:528). The Unisa ethical policy requires researchers to obtain the approval of the heads of institutions in which the research will be conducted before commencing with their research studies. For the purposes of this study, the researcher requested approval to conduct the study from both the Bushbuckridge Local Municipality and the Mpumalanga Provincial Department of Human Settlements (see Annexure A attached). All the research participants in this study participated in the study voluntarily and signed informed consent forms to serve as evidence that their participation was on a voluntary basis. In addition, the researcher explained the purpose of the study to them. The purpose of the study and some of the ethical considerations were also mentioned in the semi-structured questionnaires and on the informed consent forms.

1.10 Clarification of terms

1.10.1 Accountability

Section 195(1)(f) of the Constitution of the Republic of South Africa, 1996, states that public administration must be accountable. Accountability as an obligation of an individual or organisation to: (a) account for his/her/ its actions, (b) accept responsibility, (c) disclose the results of activities in a transparent manner, and (d) accept responsibility for money or property entrusted to the individual/organisation (Hudaya, Silaen, Smark & Watts 2015:63). Krishnan (2008:3) is of the view that the word accountability is synonymous with words such as responsibility, liability, culpability, answerability and chargeability and that the term accountability is often used interchangeably with good governance in the South African context. According to Randa and Tangke (2015:666), accountability refers to the willingness of a person or organisation to clarify the use of all resources received from stakeholders and is one of the aspects of good governance.

1.10.2 Adequate house

For a house to be declared adequate, it must include elements such as: (a) legal security of tenure to prevent evictions, (b) affordability of monthly rentals, (c) habitability by providing enough space for privacy, (d) availability of housing services such as safe water, sanitation, energy for heating and cooking, (e) refuse removals and disposals services, (f) located in close proximity to social amenities, including emergency services, schools, clinics, transport facilities and job opportunities, and (g) the structures must meet the cultural desires/beliefs of the occupants (Burnell & Sanderson 2012:94).

1.10.3 Constitution

A constitution is a country's basic law that creates political institutions, allocates power within government and often provides guarantees to citizens (Edwards, *et al.*, 2012:35). A constitution embodies the fundamental principles of a government and establishes the basic structures and procedures in terms of which the government operates to uphold those principles, both written and unwritten (Deardorff 2013:35).

1.10.4 Cooperative governance

According to the House of Commons (2012:3), cooperative governance refers to the cooperation between government spheres in delivering public services to communities. Cooperative government in the South African context, refers to the relationship and cooperation between the three government spheres in the daily execution of the legislative and executive functions of the democratic government as a whole. Nevertheless, each sphere is distinctive and has a specific role to fulfil despite the fact that the three spheres are both interrelated and interdependent (Edwards 2008:65; Coetzee 2010:85). Mathebula (2011:840) maintains that cooperative government refers to the obligation of the three government spheres to trust, support and assist one another in coordinating service delivery to the communities.

1.10.5 Data

Data is the building blocks or basic units of information which are used by researchers to answer their research questions or to address their research problems (Rallis & Rossman 2012:3-4). Data is further discussed in section 4.5 of this study.

1.10.6 Decentralisation

Decentralisation is regarded as an important aspect of political and administrative reform in many countries as it provides opportunities to the local people to launch initiatives and establish their own priorities and participatory plans (Crawford & Hartmann 2008:146). The reason for this is because decentralisation is seen as the universal solution to the problem of ineffective, centralised, bureaucratic structures (Recondo in Petric 2012:130). Decentralisation can be defined as the devolution of functions and powers by central government to local government structures with the aim of promoting economic, political and social activities in order to improve service delivery (Hattingh 1998:65).

1.10.7 Democracy

Democracy implies that the citizens of a democratic country have the right to voice their opinions on issues that are of their concern (Mpehle 2012:214). Fernandez and Scheneirov (2014:1) view democracy as a political system with the central value of rule by the people in a sense that the people are involved in development of policies that provide for their needs.

1.10.8 Good governance

Berge (2012:64) regards good governance as: (a) the participation of communities in policy development and implementation, (b) government officials' accountable, transparent execution of government activities, (c) adherence to the rules of the law, (d)

provision of basic services, (e) promotion of the democratic values and principles of a country, (f) respect for human rights, and (g) freedom from corruption. Good government requires strong partnership/s between the government, private sector, civil society organisations and all stakeholders in order to promote the good relations which may result in effective socio-economic activities (United Nations 2000:3; Tau 2013:155). Andrews and Entwistle (2014:47) regard public-private partnerships as an effort to enhance public service delivery efficiency in order to promote good government. In the South African context, good government is provided for by section 195(1) of the Constitution of the Republic of South Africa, 1996, which stipulates the basic values and principles of public administration (South Africa. Constitution, 1996).

1.10.9 Governance

Governance may be defined as the promotion of finding solutions to existing problems by establishing frameworks that support or promote cooperation, communication, coordination, collaboration and consultation. Any governance process should be highly participatory and must involve policy debates, communication on alternative service delivery mechanisms and accountability by all stakeholders (United Nations 2000:3).

1.10.10 Government

A government is comprised of people who are responsible for controlling and administering the interests of the public (Olivier & Wasserfall 2009:2). This is affirmed by Dickerson, Flanagan and Oneill (2010:3-4) who maintain that government is responsible for protecting societies from attacks, enforcing rules of conduct within societies, settling disputes between the members of societies and providing basic services to societies. In South Africa, the government is responsible for providing basic services to societies by promoting the basic values and principles of public administration as stipulated in section 195(1) of the Constitution of the Republic of South Africa, 1996.

1.10.11 House

A house is a structure which is usually built of concrete slabs, wood or steel and is divided into rooms which cater for different purposes or functions for the family who lives in it (the house). For example, the living room is used for entertainment purposes, the bedroom provides privacy and a resting place, the dining room is used for family meals, the kitchen room provides for the family's meal preparation functions and the toilet and bathrooms provide for personal hygiene and natural comfort (Basbas, Callo, Lebrudo & Luz 2007:49).

1.10.12 Intergovernmental relations

Malan (2005:229) defines intergovernmental relations as a set of formal and informal processes and institutional arrangements and structures for bilateral and multi-lateral cooperation within and among the spheres of government. This definition is suited to the South African context in which, as stated by Mafema and Tshishonga (2012:251), intergovernmental relations are aimed at good and cooperative government within the three government spheres by promoting smooth operations between the public institutions in order to improve service delivery. This implies the interaction between government officials and their relations within the three spheres of government (Mathebula 2011:850). This is affirmed by Kahn, *et al.*, (2011:4) who state that intergovernmental relations refer to the way in which the spheres in a governing hierarchy relate to each other.

1.10.13 Local government

Although local governments are entrusted with complex tasks in many democratic countries, the coordination mechanisms between the various spheres and across the same levels, allocation or sharing of regulatory responsibilities at the different spheres of government and the capacities of the different spheres to produce quality regulation are an essential component of multi-sphere government systems (Organisation for Economic Cooperation and Development 2010:169). This is in view of the fact that local governments are responsible for delivering services to communities because they (local

governments) are closest to these communities (Draai & Oshoniyi 2010: 53; Ile, 2013:873). Section 151 of the Constitution of the Republic of South Africa, 1996 provides for the composition of local government, the authority of municipal councils, local government's right to govern and also its right to exercise its powers or perform its functions (South Africa. Constitution, 1996). As explained in section 1.2 of this study, local government consists of municipalities and constitutes the lowest sphere in the South African government hierarchy. Local government is tasked with delivering municipal basic services to communities in their areas of jurisdictions (Mubangizi & Tshishonga 2013:301).

1.10.14 Municipality

The Local Government: Municipality Structures Act (117 of 1998) defines a municipality as a state organ vested within the local government sphere and consisting of political structures, office-bearers and administration staff. This is affirmed by the South African Local Government Association (2011:5) which states that a municipality is a state organ that consists of political and administration structures such as a municipal council and the communities residing in the municipal council's area of jurisdiction. Municipalities have legislated government authorities which provide them with the right to launch their own initiatives as far as the local government affairs of their communities are concerned. These government authorities encompass legislative, executive and judicial powers. The executive authority of municipalities involves public policy and decision-making powers while the legislative authority is exercised through making and administering by-laws. Nealer, Khalo, Phutiagae, Van der Waltd, Van Niekerk & Venter (2007:5) regard a municipality as a state organ within local government that exercises legislative and executive authority.

1.10.15 Organ of state

Section 239 of the Constitution of the Republic of South Africa, 1996 defines an organ of state as any state department or administration in the national, provincial and local government sphere or any other institution performing a function in terms of the Constitution, provincial constitution or any legislation excluding court or judicial offices (South Africa. Constitution, 1996:126).

1.10.16 Service delivery

Bauer (2006:37) regards service delivery as the primary function of local government. According to Ngwake (2012:313), service delivery refers to the provision of public goods and basic services by the government while Sebola (2012:409) is of the view that the service delivery processes should satisfy the needs of communities. In South Africa, local government as the lowest sphere in the government hierarchy is constitutionally mandated to deliver services to communities (Nemutanzhele & Nkuna 2012:361; Mubangizi & Tshishonga 2013:301).

1.11 Overview of chapters

Chapter 1: Background and rationale for the study

This chapter presents the introduction to the entire research study. The chapter discusses the research objectives of the study, research design and methodology used, problem statement, limitations and delimitations of the study and relevant research terminology. It concludes with a brief summary of the discussion presented in the chapter.

Chapter 2: Decentralisation as a democratic model of cooperative government in South Africa

This chapter discusses, among other things, decentralisation as a democratic model of cooperative government aimed at improving housing service delivery. The chapter also discusses decentralisation as a service delivery mechanism in multi-spheres countries such as Germany, South Korea, Tanzania, and Uganda. The chapter concludes with a brief summary of the discussions.

Chapter 3: Conceptualisation of cooperative government in the delivery of adequate housing in South Africa

The chapter presents a synthesis of cooperative government. Other key concepts that are discussed in this chapter include network governance, intergovernmental relations, good government, governance, consultation, communication, cooperation, coordination, collaboration, public participation and stakeholders in an attempt to determine whether the structures of cooperative government and intergovernmental relations are effective in providing adequate housing. In addition, some of the critical cooperative government and intergovernmental relations structures in South Africa are also discussed. The chapter concludes with a brief summary of the discussions.

Chapter 4: Research design and methodology

Research design, methodology, units of analysis, dependent and independent variables, data collection instruments and data analysis software are the core focus of this chapter. Sampling and sampling types are also discussed in this chapter as is the software that was used to analyse the data which was collected. The chapter concludes with a summary of the discussions.

Chapter 5: Data analysis and interpretation

The analysis of the data produced by the empirical study is interpreted in this chapter. A brief summary of the discussion concludes the chapter.

Chapter 6: Findings, recommendations and conclusion

This chapter discusses the findings of the study as well as the recommendations made and the conclusion drawn. The findings of the study are supported by the findings from the literature review. Suggested areas for further study are also discussed in the chapter. The chapter is concluded with a summary of the discussion.

Chapter 7: CRC model as an accountability tool for citizens

Some of the issues which were highlighted in the literature review are discussed in this chapter as is the CRC survey questionnaire as an accountability tool for BLM citizens. The chapter concludes with a brief summary of the discussions.

1.12 Reference technique

Referencing assists researchers and writers to avoid plagiarism as the readers are able to verify quotations or citations and do follow-ups if they so wish in respect of the original author's thinking by consulting the source which was used (Coughlam, Cronin & Ryn 2013:123). Plagiarism is involved if a researcher or writer presents the work of other writer/s as his or her own. Plagiarism is regarded as an academic theft and is a serious offence (Bless, Higson-Smith & Sithole 2013:36). According to Treadwell (2011:46), plagiarism is both unethical and illegal because researchers or writers represent the work of other researchers or writers as their own without considering the fact that they are claiming "used goods". Representing the work of others as one's own may result in the

readers reading both the researcher's and the plagiarist's version of that research. The researcher employed the Harvard referencing method. As stated by Fafinski and Finch (2012:65), this is a two stage process as authors are cited in-the text itself and are also included in the list of reference. McMillan and Weyers (2013:143) regard the Harvard reference method as simpler, quicker and more readily adjustable as compared to other referencing styles.

The authors who had been acknowledged in-text must be listed alphabetically under the list of sources or the bibliography at the end of the report or document (Oyekan 2013:40). In-text citing requires that an author's surname be written first, followed by the year of publication and then the page number. Fafinski and Finch (2012:166) are of the opinion that researchers/writers have the option of replacing the page abbreviation p. by a colon (:) and of writing ampersand (&) instead of and. They maintain that researchers or writers must include all the authors' names if there are more than three authors when they are cited for the first time in the document. However, in all subsequent citings, the name of the first author is indicated but the names of the other authors are replaced by *et al.* However, it should be noted that *et al.* must always be written in italics because it is not an English word but a Latin word. In this study, all words that are not English words are written in italics. The colon was used to replace the page/p, *et al.* was used when citing more than three authors and the ampersand (&) was used to replace and. Citing implies referring to the work of an author by name and the year in which the work was published (Rallis & Rossman in Croker & Heigham 2009:281). The Harvard referencing method was used in this study because, as compared to other referencing methods, it is simple, quick, more readily adjustable and usable to the researcher.

According to McMillan and Weyers (2013:4-5), referencing means to mention a particular writer or a piece of work. Referencing is a standardised method of acknowledging the sources of information which researchers or writers have consulted for their research studies. This may include words, figures, theories, ideas or facts originating from other

sources and which were used by the researchers in question. A reference is a direction in a book to another passage or book where information may be found. To cite means to use a phrase or sentence from a piece of writing or speech in order to support or prove something. In the academic context, the use of referencing includes: (a) the provision of information in the text about the authorship of the original source material and (b) the provision of publication details in some type of footnotes, reference list or bibliography in accordance with the citation and referencing style being followed. Reasons for referencing include: (a) protecting the intellectual property of the original author and (b) providing readers with specific bibliographical information for their topics. A citation in the academic environment involves linking ideas within new texts to information or data derived from another source document and the document's author(s). This serves as recognition of the original author by providing sufficient information from the publication details to enable readers to locate the original document if they wish.

1.13 Conclusion

The South African democratic government adopted the democratic decentralisation model after its inception in 1994. This brought about the establishment of three spheres of government in an effort to improve, inter alia, housing service delivery. The three government spheres include the national, provincial and local spheres of government. These spheres are constitutionally distinctive, interdependent and interrelated although they are autonomous. In addition to their autonomic status, these three spheres are responsible for the promotion of cooperative government and intergovernmental relations. Cooperative government refers to the relationship and the cooperation between these government spheres in the daily execution of their legislative and executive functions. Governance refers to the promotion of finding solutions to existing problems by establishing frameworks that support or promote consultation, communication, cooperation, coordination and collaboration. Any government process should be highly participatory and must involve policy debates and communication on alternative service

delivery mechanisms as well as accountability on the part of all stakeholders. Cooperative government and intergovernmental relations structures aimed at promoting consultation, communication, cooperation, coordination and collaboration have been established. The effective utilisation of these established structures should promote good government and improve housing service delivery. Although decentralisation authorises national governments to transfer power to provincial and local governments, all the government spheres represent the government in power and are responsible for delivering basic services to communities effectively, efficiently and equally with the government as an agent of the state (principal) and consisting of government spheres. Decentralisation and intergovernmental relations are useful tools for implementing and managing developments, including housing development. Decentralisation as a democratic model of cooperative government in South Africa is discussed in the next chapter.

CHAPTER 2

DECENTRALISATION AS A DEMOCRATIC MODEL OF COOPERATIVE GOVERNMENT IN SOUTH AFRICA

2.1 Introduction

A lack of access to adequate housing is one of the complaints by communities and which are reported on a daily basis in the media in South Africa (Maoba, *et al.*, 2013:163). These media complaints stem from citizens' frustrations with the democratic government and are evident in the high rate of housing service delivery protests and demonstrations (Ubisi 2013:42). The adoption of the GEAR strategy/policy as a neoliberal macroeconomic policy in 1996 has impacted negatively on the delivery of housing services as a result of the fact that the state's intervention in the housing market is minimal while the existing housing market is strong (Ndinda, Uzodike & Winaar (2011:263). The delivery of adequate housing has presented a huge challenge to the democratic government (Mubangizi & Tshishonga 2013:299-300) despite the adoption of the democratic decentralisation governance model in 1994. This model led to the establishment of three spheres of government, namely, national, provincial and local. Housing is one of the concurrent functions of these three government spheres. Each government sphere has its own cooperative government and intergovernmental relations structures as provided for in the IGRFA (13 of 2005). These structures should be used to speed up the delivery of housing services as well as other services. This chapter discusses decentralisation as a democratic governance model, democracy, governance and good government, types of decentralisations, cooperative government and decentralisation in Germany, South Korea, Tanzania and Uganda.

2.2 Decentralisation as a democratic governance model

The three government spheres are responsible for delivering adequate housing as provided for in the Housing Act (107 of 1997). However, many of the houses built in South Africa have defects which include: (a) poor design of the houses, (b) substandard bricks and leaking water pipes, roofs, drainage and toilets, and (c) the fact that the contractors use uncertified construction methods. These defects are often the result of: (a) contractors buying too little and poor building materials in order to save money, (b) poor onsite supervision and (c) a lack of understanding of the National Building Regulations (NBR) on the part of the contractors. In addition, the majority of contract workers are not committed to meeting quality housing standards (Emuze, *et al.*, 2012:22–24). Plaatjies (2008:2) is of the view that the constitutional division of power and authority between the three government spheres provides for a unitary form of government because each government sphere is autonomous. However, section 40(1) of the Constitution of the Republic of South Africa, 1996 clearly states that these government spheres are distinct, interdependent and interrelated.

In view of the fact that this study focused on the effectiveness of the cooperative government and intergovernmental relations structures in the three government spheres, the principal-agent theory was adopted for the purposes of the study. The principal-agent theory focuses on delegation from members of parliament to government departments (Gilard 2001:3). According to Gilard (2001:3), such delegation may be from: (a) parliament to the government, (b) citizens to their representatives who are parliamentarians and (c) from government as a whole to a single minister. It should be noted that Parliament uses parliamentary committees in order to carry out its oversight and accountability mandate (Mgiba 2011:35). For example, the Portfolio Committee of Human Settlements, as an agent, oversees human settlements issues and reports on progress to Parliament as its principal (South Africa. Parliament of the Republic of South Africa 2014d:1). The same principle applies to officials serving in the cooperative government and intergovernmental

relation structures who act as the agents of their departments and with Parliament as their principal. For example, the Minister of the National Department of Human Settlements serves on the human settlements MinMEC which is one of the cooperative government and intergovernmental relation structures at the national government level and also an executive authority to Parliament (Mgiba 2011:20). The chairperson of this committee also presents human settlements progress reports to Parliament as the principal. The human settlements progress reports reflect human settlements development, problems and outcomes, among other things, in the three government spheres. Government officials serving in cooperative government and intergovernmental relations structures render different services including housing in the three government spheres. Some of these officials are heads of government departments/institutions in the three government spheres. For the purposes of this study, an agent is any official/person who has been delegated to execute a government function while the delegator of that particular function is the principal. For example, a ward councillor is the agent of the ward (citizens of that particular ward) for which he/she is responsible.

The municipal council may be regarded as a principal and the ward councillor who reports the ward community's housing needs and problems as the agent of the municipal council. In terms of the principal-agent theory, politicians and government officials as agents of the public (citizens) are supposed to render public services. In this context, the citizens as the delegators are regarded as the principals (Dipholo & Gumede 2014:47). This may be linked to the fact that decentralisation is, in fact, the result of the failure of centralisation because decentralisation brings the authorities into more direct contact with citizens than would otherwise have been the case (Pillay in McLennan & Munslow 2009:140). Dickovick (2011:1) maintains that decentralisation refers to the relocation of power from central levels to sub-national levels and that this relocated power overcomes the central rule. According to Ebel and Muwonge in Farvacque-Vitkovic & Kopanyi (2014:1), decentralisation is often referred to as localisation because it involves the sharing or splitting of intergovernmental, public sector functions between multiple government

spheres such as the central, state (in federal states), provincial and local government spheres.

As stated by Matsiliza (2012:447), decentralisation may facilitate cooperation between the leadership of the various government spheres only if effective cooperative government mechanisms are available in each sphere. Included in the most important pending issues, decentralised countries need to: (a) clarify the distribution of responsibilities between the spheres of government, (b) strengthen the resource base of local governments, (c) develop effective decentralisation reforms because certain of these decentralisation reforms attempt to clarify responsibilities but without addressing financial issues, and (d) capacitate municipalities because other countries assign municipalities or local governments new responsibilities although they (municipalities or local governments) are ill equipped to manage these new responsibilities and are depending on intergovernmental transfers (hereafter referred to as IGT) (Farvacque-Vitkovic & Kopanyi (2014:vvvii). In the majority of decentralised countries, the transfer of responsibilities from central government has not been accompanied by an adequate transfer of resources. It should be noted that, in most instances, the municipalities or local governments in decentralised countries are responsible for delivering basic services because they are close to communities (Pillay in McLennan & Munslow 2009:154). Before the inception of the democratic government in 1994, power in South Africa was centralised because South Africa was a unitary state which was run using the top-down government system. Provincial governments were tasked primarily with administrative roles (Dickovick 2011:44).

Section 151 of the Constitution of the Republic of South Africa, 1996, provides for the establishment of local government that consist of municipalities. These municipalities are accorded the right to govern the local affairs of their communities. In general, decentralisation in democratic countries such as South Africa implies an improvement in governance because of the creation of new opportunities for independently elected

politicians to demonstrate their abilities to govern. One of the principles of democratic advancements is to increase the efforts of sub-national or provincial politicians to win popular support in order to strengthen their parties' competitiveness in national elections (Faguet 2011:6-7). South Africa is no exception to this because the majority of votes won in eight of the provinces, kept the ANC in power as the ruling party during the 2014 national elections (South Africa. Independent Electoral Commission (IEC) 2014:1). The ruling party had been in power since 1994 because it has been voted into power by the majority number of citizens in the national elections. Democratic countries such as South Africa are ruled by majority vote. This majority rule is beneficial to the ruling parties because any government formed by a party with a majority in parliament may be confident that its actions will be endorsed by the legislature as the opposition parties lack sufficient votes in parliament to prevent the ruling party's actions (Rose in Bernhagen, *et al.*, 2009:12 & 14). However, in some instances, a majority rule government system may constitute an obstacle to effective service delivery due to the different interests of government officials and their political parties, with these different interests of the government officials and their political parties catalysing the ineffectiveness of the cooperative government and intergovernmental relations structures as the focus of this study. For example, the main purpose of the cadre deployment policy is to employ loyal officials who are loyal to the ruling party in South Africa.

Berry, *et al.*, (2012:53) are of the view that democratisation is extremely difficult because a country which is trying to move towards democracy is vulnerable to those who were advantaged in previous regimes as well as those who would like to seize the power resulting from the decentralisation and democratisation processes. Some of the burning questions or concerns which a decentralised or federal states confront include: (a) the real responsibilities that should be assigned to the decentralised spheres and the introduction of equalisation governance mechanisms, (b) the hampering of the effective discharge of responsibilities by the decentralised government spheres, (c) hazy lines delimitating the responsibilities of the various government tiers and (d) poor allocation of financial

resources or even a complete lack of financial resources (Dafflon, Hugouneng & Madies in Dafflon & Madies 2013:1-2).

The adoption of GEAR represented an attempt by the democratic government to address, among other things, these burning decentralised questions. Jokozela (2012:iv) states that the main aim of adopting GEAR as a macroeconomic policy in South Africa was to reduce government spending and accelerate investment after the adoption of GEAR in 1996. However, the adoption of GEAR catalysed the use of public-private partnerships (PPPs). PPPs should be able to provide cost effective and efficient service delivery to citizens and, thus, improve service delivery. In addition, they should also provide mutual benefits without the investors benefiting from the expenses incurred by the communities/citizens as a result of hidden motives (Nuwagaba 2013:356-357). Van Wyk (2011:1340) is of the view that the outsourcing of public housing services through PPPs creates significant opportunities for corruption and fraud. The reason for this is that, in most instances, housing tender contracts are managed and awarded to contracts and sub-contracts by consultants. It is vitally important that government officials avoid abusing the housing tender systems because this practice robs the housing beneficiaries (Mpehle 2012:224). Government officials should always bear in mind that a PPP is an agreement in terms of which government contracts private companies to build or improve infrastructures for a stipulated period (Cruz & Marques 2013:4). Cruz and Marques (2013:4) are of the view that government is faced with 4 (four) challenges when providing housing infrastructure services to communities through PPPs.

These challenges include: (a) selecting a housing project that will benefit the community as a whole and not only a sub-group in that particular community, (b) maintaining the housing infrastructure because politicians often build new housing projects and reconstruct severely damaged housing infrastructures instead of assigning routine maintenance resources, (c) pricing inefficiently which results in unnecessary user-fees and (d) promoting corruption by contracting the same contractors who sometimes repeat functions

for large constructions (Engel, Fisher & Galetovic 2014:2 & 10). Van Rensburg (2011:49-50) also advised that: (a) political and administration spheres should be separate entities and (b) interference by politicians in housing administrative management and operations should be avoided. The main reason for this is that inexperienced and unqualified housing officials may be employed in housing departments. Nuwagoba (2013:356) states that PPPs should function effectively if there is no political interference and transparency is maintained whenever contracts are negotiated and executed.

According to Steets (2010:2 & 7), the partners in PPPs should share the risks and responsibilities and make all decisions jointly because such a partnership is a voluntary cooperative arrangement involving the public as well as private and civil organisations. This voluntary cooperative arrangement should be formalised using common and non-hierarchical public decision-making procedures that include addressing public housing policy issues. The formalisation of voluntary, cooperative arrangement should involve the signing of a social compact. A social compact is a contract between public sector (government authorities) and private sector housing developers, communities and other role players such as land owners and financiers. The private sector housing developer (housing contractor) is regarded as the agent of the contracted government department which is the developer's principal (Van Rensburg 2011:45). For the purposes of this study, the principal-agent theory which was adopted is discussed from two perspectives.

Firstly, the adoption of the GEAR as a macro-economic strategy/policy mandates those government officials who are responsible for delivering housing and housing services in the three government spheres to negotiate with the other principals in the networks and partnerships over the nature, scope and delivery of the public goods and services (Boyer, Forrer & Kee 2014:xviii). Section 1 of the Constitution of the Republic of South Africa, 1996, declares South Africa to a democratic state. Democracy implies a joined-up government that should promote cooperative government and intragovernmental relations in the design and execution of housing public policy and the delivery of public housing

services (Koliba, Meek & Zia 2011:145). Democracy is a system of government in terms of which people rule either directly or through elected representatives (Berman & Murphy 2013:4). South Africa may be regarded as a representative democratic country because, in democratic countries, the parliamentarians designate a relatively small number of people as their agents to represent the parliamentarians' interests as principals. These representatives then meet in a legislative body (Parliament in South Africa) and make decisions on behalf of the entire citizenry (Berman & Murphy 2013:5). Greenblatt and Smith (2014:32) support this assertion, stating that representative government is a form of government in which the citizens exercise power indirectly by choosing representatives to legislate on their behalf.

In the national sphere, the principals may be the members of parliament while the agents are the public institutions for which the members of parliament are responsible (Mubangizi & Tshishonga 2013:301). For example, the Minister of the National Department of Human Settlements, as a member of parliament (principal), is responsible for the human settlements department. In most instances, the principal-agent theory implies that higher level government spheres delegate powers, functions and responsibilities to the lower government spheres. South Africa adopted the international tendency of decentralising housing development programmes to local government sphere by delegating housing responsibilities to municipalities (Van Rensburg 2011:51). However, the PPP manual for municipalities has not yet developed since 2004 (Fombad 2014:68). The Department of National Treasury developed a PPPs manual as per the provision of the National Treasury Regulation 16 of 2004. This manual provides for the management of PPPs in both the national and the provincial government spheres. In addition, the manual also provides for all phases of PPPs from the inception to the closure of a housing project (Department of National Treasury 2004:1). However, in view of the fact that the municipalities do not yet have a PPP manual, the researcher decided not to discuss these phases.

PPPs assist public servants to take the initiative in fostering trust between the government and citizens because, as compared to government, PPPs have better channels and mediums through which to engage citizens who tend to regard government as distant and unreachable (Lee & Yu 2013:86). PPPs represent joint efforts by government departments or entities to provide or deliver services, including public housing services jointly (Gray, Jenkins & Leeuw in Gray, Jenkins, Leeuw & Mayne 2003:10). Koliba, *et al.*, (2011:154-155) regard PPPs as: (a) cooperative ventures between governments and private businesses, (b) providers of housing services that meet public housing needs, among other needs and (c) undertakers of large and capital improvement housing projects, in some instances. Van Rensburg (2011:47) is of the opinion that ignorance of the housing needs and wishes of communities may escalate housing development problems. In view of the fact that partnerships require collaboration in terms of which both parties (public and private) have an equal stake in the outcome, close working relationships to jointly address the public housing problems, including other public problems, are critical (Boyer, *et al.*, 2014:198). PPPs are regarded as one of the vehicles for government action because public managers in all government spheres face various challenges. These challenges include: (a) closing the gap between what citizens expect the government to do for them as far as housing is concerned, (b) lack of resources to meet the communities' housing expectations and (c) lack of housing expertise, housing capacity and funding ability. These challenges justify cross-sector collaboration (CSC). Cross-sector collaboration refers to an interaction between two or more sectors (public, private, non-for-profit) with the aim of achieving a particular goal, including a specific housing goal (Boyer, *et al.*, 2014:xviii, 3-5).

In the context of housing PPPs, government functions should be managed through housing contracts to ensure that housing services are delivered properly and the value for money principle is promoted. Some of the factors which public managers should take into account for the effective management of housing contracts include: (a) establishing a PPP unit consisting of experienced PPP officials, (b) developing a contract administration manual which contains information on the terms of the contract, processes and procedures for managing the contract effectively, (c) maintaining and sharing of all key contract

documents with the private partner to avoid misunderstanding, (d) producing user guides to assist service users involved in the monitoring of the contract, (e) promoting a sound partnership which will assist in dealing with unforeseen problems or issues, (f) formulating an effective and detailed communication strategy to be used by all stakeholders, (g) reviewing and updating the communication strategy formulated so that problems may easily be resolved and (h) the compilation of a risk register to monitor risks (Farquharson, Torres de Mästle & Yescombe 2011:133 & 137).

It is vital that government officials (public sector), as the principals of the agents (private sector), monitor and evaluate the PPP housing project. One of the principal aims of monitoring and evaluating housing development projects is for diagnostic and accountability purposes (Curth-Bibb, Hughes & Hunt 2013:132). Flick (2011:78) maintains that evaluation entails the assessment of the housing project which has been implemented to determine: (a) if the project objectives set were achieved and (b) all problems that emerged during the project cycle were addressed and future improvement tools developed. This view is supported by Farquharson, *et al.*, (2011:136-137) who state that evaluation, specifically, in PPP projects: (a) ensures that policy objectives were met, (b) checks whether expected benefits were realised and (c) provides crucial information on the lessons learnt which may be used in future PPP policy development.

Section 3(g) of the Local Government: Municipal Systems Act 32 of 2000 requires municipalities to monitor, evaluate and regulate all municipal services provided by service providers while section 3(j) requires municipalities to monitor and evaluate the impact and effectiveness of any project, including housing. Monitoring entails the regular collection and recording of information on the delivery of the daily activities carried out during a housing project while evaluation entails measuring the degree of success of a housing project in achieving the set housing objectives. Successful monitoring and evaluation assist in: (a) improving the project, (b) highlighting successes and (c) determining achievements and (d) disseminating accurate project information to communities and all stakeholders (Bates & Jones 2012:3 & 7). Monitoring and evaluation are important management tools

that assist management both to track progress and facilitate crucial decision making processes (Beaudry & Sera 2007:1). In support of this assertion, Hamilton, Hobson and Mayne (2014:5-6) indicate that monitoring and evaluation are powerful tool for social and political change and ensure accountability. Section 31(1) of the Local Government: Municipal Systems Act 32 of 2000 mandates the MEC for local government to monitor and evaluate all the processes (planning, drafting, adopting and reviewing) involved in the integrated development plans (IDPs) (South Africa. Municipal Systems Act, 2000).

Monitoring and evaluation are crucial in decentralised countries because decentralisation is both a state and a political reform process (Ozmen 2014:416). Decentralisation may be meaningful assessed in terms of three dimensions which are commonly known as the main types of decentralisation, namely, administrative, political and fiscal (Dickovick 2014:3). According to Dickovick (2014.3), the sequence in which decentralisation occurs across these dimensions is the principal predicator of the extent of the autonomy delegated to lower governments spheres/subnationals. Decentralisation is illustrated in Figure 3.1. Falleti (2004:3 & 32) argued that the sequencing of different types of decentralisation (administrative, political and fiscal) is a key determinant as regards the evolution of intergovernmental balance of power. Falleti (2004:3 & 32) maintains that the reason for this is the three main characteristics of the sequential theory of decentralisation, namely: (a) defining decentralisation as a process, (b) taking into account the territorial interests of bargaining actors and (c) incorporating policy feedback effects in the analysis of bargaining situations.

Sequential in this context indicates that one type of decentralisation takes place first and this is followed by another type of decentralisation through the delegation of power or as an outcome of negotiations. For example, if administrative decentralisation entails the administration and delivery of social services, such as housing, by the lower government sphere(s) and revenue is also transferred from national sphere to fund the housing service, administration decentralisation takes place first and is followed by fiscal decentralisation.

However, in most instances, political decentralisation takes place second because funding is usually negotiated on the political level. It should be noted that decentralisation policies belong to one of the three above mentioned types/dimensions of decentralisation, depending on the type of authority developed. As compared to funded administrative decentralisation, unfunded administrative decentralisation results in the lower government spheres being more dependent on the national government sphere for fiscal resources. In the main, the sequential theory of decentralisation is predominant in countries that have undergone decentralisation reforms as part of the movement from state-led to free-market economies. South Africa is one such country because, as stated above, it adopted GEAR. However, neoliberal policies affect all areas of social life and not only economic issues (Braedely & Luxton 2010:7). In addition, numerous social problems, including housing problems, result from the failure of the economy (Madzivhandila 2014:766). These countries (decentralised) have instituted at least two government spheres and various types of decentralisation reforms/dimensions occurring at different points in time. South Africa has three government spheres which are all constitutionally autonomous.

In this study, housing contractors or service providers were regarded as agents of the contracting department/s as their principals in each government sphere. There are various types of PPPs although the most common ones are institutional and contractual PPPs. In an institutional PPP, both the public and private sectors are the shareholders of a third entity while, in contractual PPPs, two (public and private) agents are engaged via a contract (Cruz & Marques 2013:4). This study discussed the contractual PPP only because the South African government delivers public housing services through contracted housing service providers/housing contractors (Department of National Treasury 2004:5). Jokozela (2012:28) regards the cooperation in contractual PPPs as an element which extends beyond the principal-agent relationship although he regards both the government and the private partner as principals in pursuit of an agreed upon, shared objective. Steets (2010:2 & 15) is of the view that principals should be held accountable because accountability in the principal perspective is a mechanism to ensure that the agents do not abuse their authority and that they act in the best interests of their principals. Steets (2010:2 & 15) is also of the

opinion that the discourse and practice of accountability in the public sector have developed in the context of representative democracy. South Africa is no exception of this assertion because accountability is one of the basic principles and values of public administration as provided for in section 195(1)(f) of the Constitution of the Republic of South Africa, 1996.

Agreements in respect of shared objectives should be sealed in contracts which specify the exact responsibilities, rights and obligations of each party, the level of service/s to be provided, rules for early termination and penalties for non-adherence to the signed contracts (Cruz & Marques 2013:4). According to the Department of National Treasury (2004:6), a PPP agreement refers to a written contract which records the terms of the PPP concluded between a government institution and a private party. For example, in the provision of public housing, the private partner (agent) builds the housing project, receives the negotiated payment and concludes the contractual agreement with the government institution (principal) (Engel, *et al.*, 2014:3). The contractual agreement concluded should be managed. The management of contracts should take place throughout the lifespan of a housing project (Farguharson, *et al.*, 2011:133). Bussin (2015:234) is of the view that a contract in a PPP constitutes the key remedial tool for the principal to use to solve the agent's problems or any problem caused by the agent that is severely hampering the progress of the housing project.

Appropriate contract management requires the public partner to uphold governance principles such as transparency, participation, accountability and equity when interacting with the private partner(s) and other stakeholders (Cruz & Marques 2013:4). In South Africa, the basic principles and values guiding public administration (public sector) are stipulated in section 195(1) of the Constitution of the Republic of South Africa, 1996. Government officials in the three government spheres, including those serving in the cooperative government and intergovernmental structures, are constitutionally required to apply these principles and values when executing their daily responsibilities. PPPs are also often termed multi-stakeholder or intersectional partnerships and promote, *inter alia*, good governance and increase the legitimacy and effectiveness of multi-lateral housing policies

(Biermann, Chan, Mert & Pattberg 2012:2). In addition, the accountability in the provision of housing services in terms of housing PPPs is clearly in the hands of the public sector (as principal). The public sector should also ensure that the housing project was completed successfully. If the construction of a housing project is completed within the targeted date and the contracted housing services were delivered in a sustainable manner, the housing project is deemed to be successful and both the agent and principal are held accountable in respect of their mandated responsibilities (Farquharson, *et al.*, 2011:10). However, it should be noted that all partnerships may have a range of different principals depending on the formality of the principals' accountability. The three accountability levels of principals include: (a) legal and fiscal authority, (b) formal and (c) informal (Steets 2010: 21). These layers are depicted in Figure 2.1 below:

Accountability layers of principals

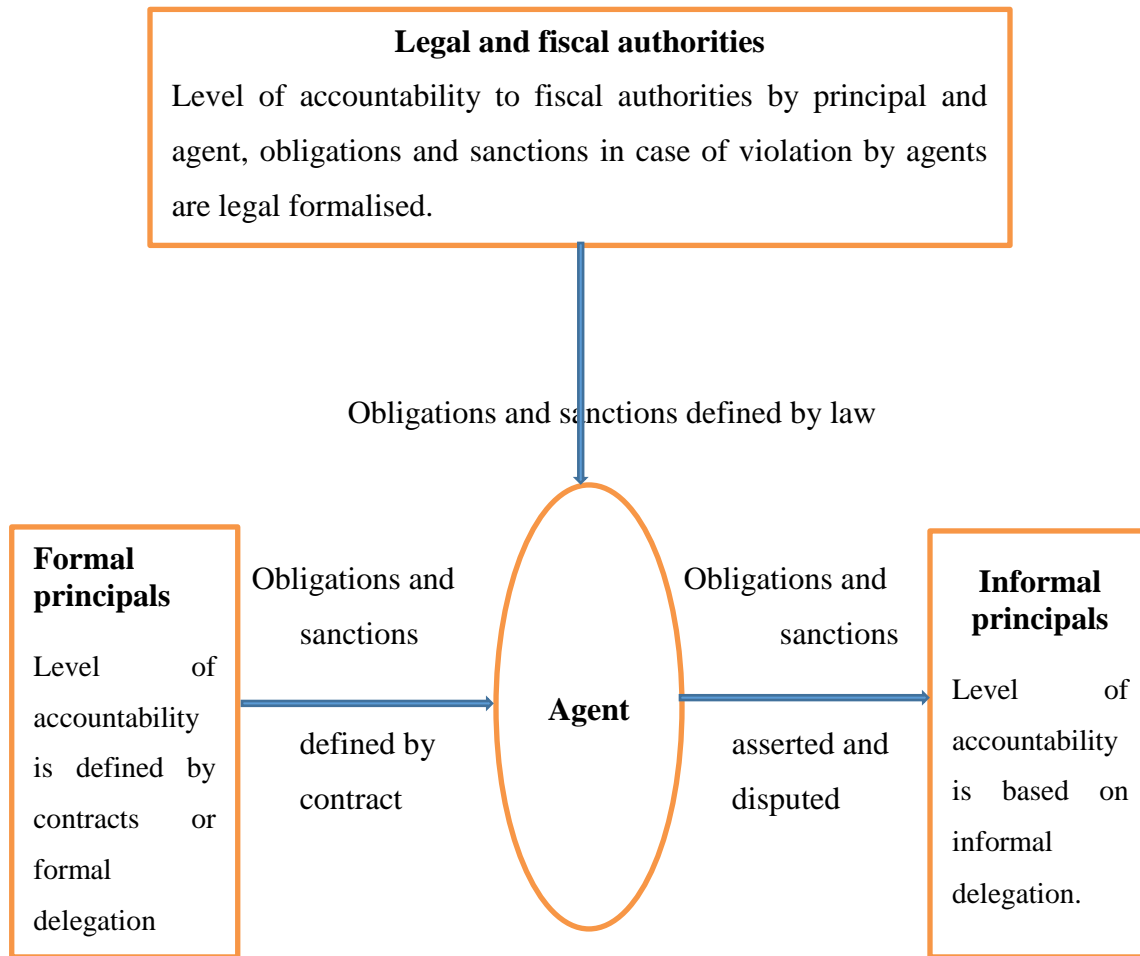


Figure 2.1: Illustration of the accountability layers of principals

Adopted from Steets (2010) and adjusted by the researcher, 2016

Both the agent and principal should be held accountable as regards their delegated responsibilities and actions. In essence, principals, as delegators of responsibilities, should ensure that the behaviour of agents is controlled through rules and predetermined procedures. On the other hand, agents should provide accurate information to the principals so as, inter alia, to reduce the evaluation costs. The information provided should enable the principal to impose sanctions on the behaviour of the agents, if necessary. Depending on the overall assessment of the agent's behaviour, the principal may choose to impose sanctions that may either improve or meet the agreed upon expectations or

control behaviour. Figure 2.2 below illustrates accountability for both agent and principal (Steets 2010:17, 22 & 24):

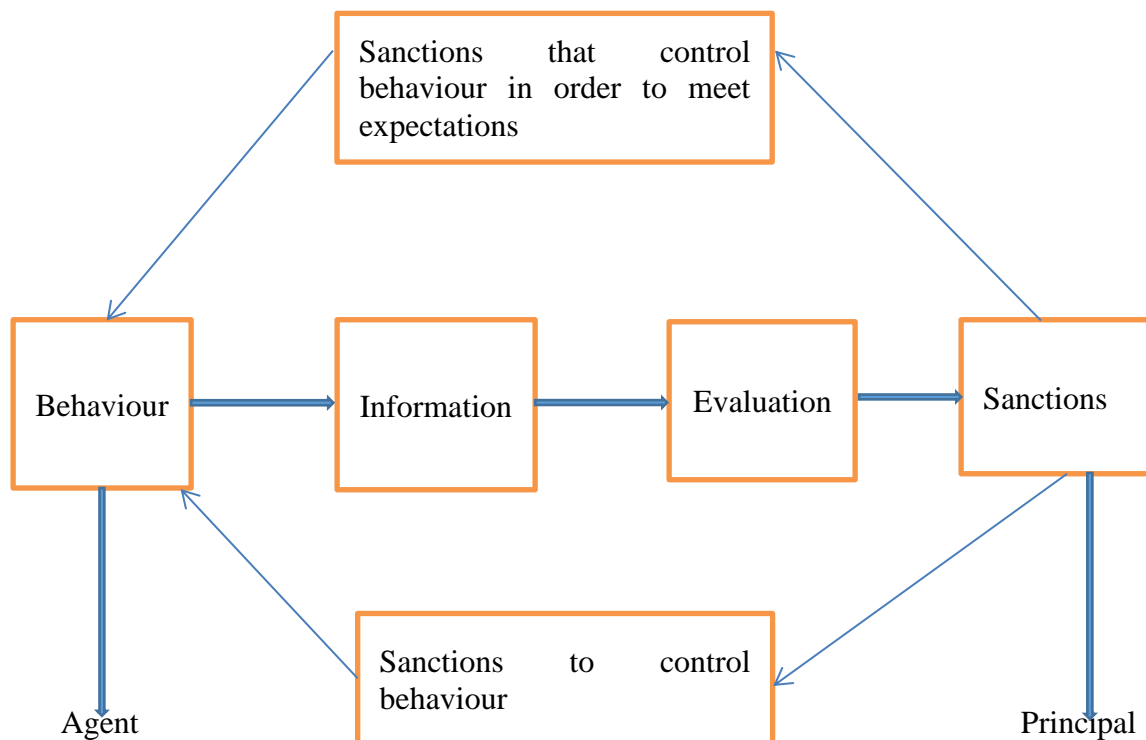


Figure 2.2: Illustration of the accountability of both agent and principal
Adopted from Steets (2010) and adjusted by the researcher, 2016

Bovaird in Boardman, Greve & Hodge (2010:55) maintains that the principal-agent theory was proposed to justify the presence of PPPs in terms of the New Public Management (hereafter referred to as NPM) agenda and to explore the generality of governance mechanisms that regulate the behaviour of principals and agents in the execution of delegated government functions. In the South African context, NPM implies that the role of the government in the economy and society must be centred on both privatisation and the deregulation of the market (Louw 2012:93). Decentralisation is one of the main features of the NPM agenda (Bardill & Getacher 2013:2). NPM is further discussed in section 2.5.1.4. NPM in decentralised government spheres is adopted to democratise public

administration and promote good governance (Dipholo & Gumede 2014:49). Democracy is discussed next.

2.3 Democracy as government by the people

One of the fundamental aspects of a democratic state is the right of citizens to participate in the decision-making processes (United Nations Development Programme UNDP) (2012:4). Bevir (2011:8) is of the view that democracy implies participation and accountability. Democracy should go hand in hand with good government, transparency and accountability (Ibrahim in Haugen & Musser 2012:27). Thus, a democratic government in the South African context should entails ensuring a better life for all as compared to previously (Madue 2014:860). Busuioc (2013:10) regards transparency, accountability and participation as some of the principles of good government. Good government in a democratic country also implies that the citizens are free from government oppression (Berman & Murphy 2013:11). Section 1(d) of the Constitution of the Republic of South Africa of 1996 declares South Africa to be a multi-party system of democratic government which ensures, inter alia, accountability, responsiveness and openness (South Africa. Constitution, 1996). It is important to highlight that democracy is, essentially, a vision of how a country ought to be governed (Rose in Bernhagen, *et al.*, 2009:1).

A state is deemed to be democratic if the citizens (as principals) are given an opportunity to provide government (as the agent of the citizens) with directions on how to meet their (citizens') needs. In other words, the supreme power of a democratic government lies in the hands of its citizens (Deardorff 2013:11). In a democratic government system, the people rule either directly or through elected representatives. Direct democracy assumes that people are able to govern themselves by making policy decisions rather than acting through elected representatives. Representative government is a form of government in which the citizens exercise power indirectly by choosing representatives to legislate on their behalf (Greenblatt & Smith 2014:32). In representative democracy, parliamentarians

(principals) designate a relatively small number of people (agents) to represent the people's interests. Bouckaert, Gelders and Van Ruler (2007:333) are of the view that democracy implies notions such as openness, freedom of information, participation, client orientation and accountability. Section 1 of the Constitution of the Republic of South Africa, 1996, provides for South Africa as a democratic state. Democracy, in common with any other government system, faces challenges. Some of these challenges are discussed below.

2.3.1 Challenges facing democracy

One of the biggest challenges facing the democratic government of South Africa is achieving a balance between improving the lives of black people, who are in majority, and meeting the needs of the historically advantaged minority (white people). Some of the service delivery challenges experienced in democratic countries such as South Africa include: (a) corruption, (b) lack of skills, (c) historical housing backlogs, (d) coordination problems and (e) institutional complexity. Horizontal administrative silos are often segmented into the vertical layers of national, provincial and local government (Mubangizi, *et al.*, 2013:781 & 783). Tshishonga (2014:891) is of the view that the cadre deployment policy in respect of all the state organs is unethical because it deprives capable, competent and skilled citizens of the opportunity to make a contribution to the development of South Africa. According to this author, deploying people who are incompetent and unskilled does not necessarily exacerbate the dire need for service delivery but cements the notion that South Africa does not have qualified and experienced personnel for public service jobs. The deployment of party cadres does not guarantee that the expectations of both the party and the public will be met unless personnel are selected on the basis of their capabilities and capacity in respect of the requirements of the positions available. Cadre deployment is based on trust and comradeship and is associated with the political loyalty of high ranking members. However, this deployment of unskilled people by the ruling party has a significant impact on poor service delivery because municipalities

require skilled individuals, including ward councillors, if they are to deliver the basic public services which they are expected to deliver as a result of their closeness to the communities (Tshishonga 2014: 897-898, 900 & 904).

Rapid changes in societies often result in public management and governance challenges which include: (a) complex societies and their problems, (b) increase in the use of partners in government, (c) replacing government and (d) demands by the citizens to be involved in governing processes. However, regardless of these challenges, democratic governments are obliged to promote accountability, transparency, trust and good government in order to improve service delivery. Governing involves people, rights, politics and difficult decisions (Mayne 2003:174). According to Edwards, *et al.*, (2012:18-19), the challenges facing democracy include: (a) an increase in the complexity of issues, thus highlighting the need to make well-informed decisions based on the expansion of human knowledge, (b) limited participation in government, (c) escalating campaign costs as a result of connections between money and politics and (d) diverse political interests and the fragmentation of power in order to deliver policies which are responsive to the citizens' needs. Democratic governments have separate, distinct and yet interdependent network institutions which are responsible for ensuring a government system with relational powers that may be exercised through both vertical/hierarchical and horizontal/collaborative ties (Koliba in Meek & Thurmaier 2012:73). However, democracy does not necessarily mean that all is well in the democratic society (Nkuna & Sebola 2014:930).

2.4 Governance as a principle of cooperative government and intergovernmental relations

According to Peters in Bevir (2011:78), good governance represents an attempt by the state and its allies in the private sector to steer the economy and improve the living conditions of its citizens through the effective utilisation of resources which, in turn, promotes good

governance. However, it is doubtful that this is happening in South Africa in view of the service delivery protestors demanding services such as: (a) housing, (b) water, (c) sanitation and (d) electricity and which, in most instances, are rendered by private service providers through PPPs (Grant 2014:1). According to Enderlein, Wälti and Zürn (2010:17-18), governance across multiple jurisdictions is more efficient because: (a) multi-level governance bundles together multiple functions, (b) it provides a particular local service, (c) it solves common resource problems and (d) it assists in selecting a standard product for citizens (Enderlein, *et al.*, 2010:17-18). The Intergovernmental Relations Framework Act (13 of 2005) provides for cooperative government and intergovernmental relations structures (agents) that should bundle together multiple functions of their individual departments (principals) in each sphere of government and find solutions to problems.

Good governance may limit the citizens' distrust of government because it reflects a neo-liberal move from a centralised governing system to a network of governance which places governance in the hands of the citizens, communities and private sectors through partnerships (Leyshow & Moir 2013:1011). In PPPs public servants should take the initiative in cultivating trust because, as compared to government, they have at their disposal better channels and mediums by which to engage their public partners who often tend to regard government as distant and unreachable (Lee & Yu 2013:86). Governance refers to government practices and the dilemmas to which such practices give rise in the form of public problems/challenges. As a result of these practices and dilemmas, governance is the focus in diverse academic disciplines including developmental studies, economics, geography, international relations, planning, political science, public administration, public management and sociology in an attempt to link officials across government spheres and mobilise various stakeholders. According to the 1995 White Paper on Transformation of the public service, governance refers to a government which has been transformed in order to improve service delivery and promote good government (Department of Public Service and Administration, 1995). Governance in multi government spheres is concerned with: (a) how other actors such as civil society organisations may play a role in taking decisions on matters of public concerns, (b) who

should be involved in the decision-making processes and in what capacity and (c) how the various levels of governments cooperate (Lartery & Satry 2010:25). Governance: (a) links people across the spheres of government and mobilises a variety of stakeholders and (b) combines people and institutions across different policy sectors and various spheres of government (national, regional or provincial and local including, in some instances, international) (Bevir 2011:1-2).

The activities of good governance as one of the principles of cooperative government and intergovernmental relations are executed in government institutions by public servants or government officials. These activities of governance include: (a) the process by which governments are selected, monitored and replaced, (b) the capacity of the government to effectively formulate and implement policies, (c) respect for citizens by public servants/authorities and (d) the effective management of these (governance) institutions, in particular, those that govern economic and social interactions (Khosrow-Pour 2005:98). Governance stems from the democratic government processes and refers to the role of public authorities in promoting development in partnerships (including civil society) (Gibbens 2008:40). Public authorities operate within the public administration discipline by executing government functions. Public administration as a field of practice deals with the implementation of government policies to enable the government in power to function effectively and efficiently (Hanyane 2011:26). It is incumbent on public officials with common policy interests to engage in dialogue and networking activities in order to promote frequent cooperative interactions and constant engagements (Lee & Yu 2013:86). Network governance and public participation are further discussed in sections 3.2.1 and 3.2.2 respectively.

2.5 Major types of decentralisation commonly used by democratic countries

The most commonly used major types of decentralisations include administrative, political and fiscal decentralisation. Yuliani (2004:2) defines decentralisation as a means of handing over administrative, political and fiscal authority to the provincial and local government spheres by the central government sphere. In support of this assertion, Vedeld (2011:161) maintains that decentralisation implies the transfer of powers, functions and financial authority from the national government sphere (principal) to locally elected bodies (agents). Cloete (2007:17) regards decentralisation as: (a) the promotion of grassroots democracy in the local government sphere because citizens are given the opportunity to participate more directly in the decision-making and resource distributive processes than may otherwise have been the case, (b) the promotion of effective and efficient government by using existing local administrative economic infrastructures through privatisation or deregulation and (c) satisfying the distinctive needs of different communities by granting an appropriate degree of autonomy to the local government spheres. The three major types of decentralisation commonly used to improve service delivery as well as other services are discussed below.

2.5.1 Administrative decentralisation

Administrative decentralisation implies that different government spheres administer resources and responsibilities which are constitutionally delegated (Yuliani 2004:2). This is highlighted by Rao and Scott (2011:1) who state that administrative decentralisation refers to the transfer of authority, resources and responsibilities from the central government sphere (principal) to lower government spheres (agents). It is essential, however, that these lower government spheres are held accountable to both the delegating government sphere and the citizens. For example, if the Mpumalanga Provincial

Department of Human Settlements in South Africa delegates a housing function to the local government sphere, the municipality in question must compile a progress housing report and submit this report to this department and also provide houses to the targeted or prioritised beneficiaries. Makara (2009:31) is of the view that administrative changes which result from decentralisations are aimed at: (a) bringing the decision-making processes closer to the citizens and (b) enabling improved communication between the local government officials and the citizens for whom they are responsible. Ebinger, Grohs and Reiter (2011:555) regard administrative decentralisation as the delegation of functions from the national government to the local government spheres although the local governments in question either remain part of the national government's administration or else they depend on it. According to Koliba, *et al.*, (2011:145), administration decentralisation entails the transfer of specific powers from one government sphere to another. Berman and Murphy (2013:41) are of the opinion that powers may be delegated either vertically or horizontally. They define horizontal powers as those powers that vested in the branches of the national government according to the system of separate powers (e.g. executive, legislative and judicial branches) and vertical powers as those powers that build relationships between the centralised or national government sphere and the lower government spheres. According to Ebel and Muwonge in Farvacque-Vitkovic and Kopanyi (2014:5), powers are transferred through deconcentration, devolution and delegation (3Ds) with each D having a place in a country's intergovernmental financial system. These three (3Ds) are discussed below.

2.5.1.1 Devolution

In South Africa, authority had been devolved to local government in order to improve both social and economic performance (Dickovick 2011:34). Devolution refers to the transfer of the governance responsibility for specified functions from the national to the local/subnational government spheres (Koliba, *et al.*, 2011:145). Malan (2002:236) regards devolution as the constitutional shifting of responsibilities and authorities from

national government to independent local government spheres. Cloete (2007:17) agrees and states that devolution: (a) is the most extreme form of decentralisation and (b) amounts to the creation of relatively independent levels or units of government with financial decision-making powers over policy making and policy execution. On the other hand, Awortwi (2010:622) regards devolution as the transfer of local bureaucratic procedures and functions from central government to a local administration that is headed by a centrally appointed executive official who is accountable directly to the central government. For example, in most instances the government officials serving on the national cooperative government and intergovernmental relations structures are the heads of national department, e.g. ministers.

Rao and Scott (2011:1-2) regard devolution: (a) as the main form of political decentralisation and (b) as referring to the transfer of: (i) substantial responsibilities, (ii) decision-making processes and (iii) resource and revenue generation to local government on which a significant degree of autonomy is conferred by the national government. Local government is headed by independent legal and fully elected officials. According to Rose in Bernhagen, *et al.*, (2009:12), the power devolved to local communities assists citizens (as principals) in most instances to discuss their needs and problems on a face-to-face basis with the relevant officials (agents). The reason for this is because devolution is concerned with the transfer of power (Lartey & Sastry 2010:3) and the responsibility for policy implementation from the national government to provincial and local government spheres (Edwards, *et al.*, 2012:87-88). According to Ebel and Muwonge in Farvacque-Vitkovic and Kopanyi (2014:6), citizens who have been accorded devolved power are able to use their local governments to express their preferences regarding services and the services levels. They maintain that this, in turn, ensures both effective local decision-making and the more efficient utilisation of limited resources as compared to what would be the case if decisions on local tax and spending policies were made in some distant capital. When each locality makes local decisions, the entire society gains financially. For example, the results from the study revealed that 13.6% of the housing beneficiaries (participants) in this study had indicated that they had rejected the proposed outside toilets during the

planning phase of the housing project. This highlighted the targeted beneficiaries enjoyed devolved power to use their municipal council to obtain their preferred services, namely, inside toilets.

Greenblatt and Smith (2014:19 & 28) are of the opinion that devolution is the process of taking power and responsibilities away from the federal/national government and giving this power and responsibilities to state/provincial or regional and local governments. They regard federalism as a political system in which national and regional governments share powers and are considered as independent equals. Devolution provides for the effective transfer of powers and responsibilities to local governments to enable these local governments to become either partially or wholly responsible for formulating and implementing financial policies (Dafflon in Dafflon & Madies 2013:17). The autonomy of provincial and local governments represents one democratic approaches because power is devolved to these government spheres (provincial and local) (Kahn, *et al.*, 2011:6). Koliba in Meek and Thurmaier (2012:73) regards devolution: (a) as the transfer of governance responsibility for specified functions to subnational spheres, either publicly or privately owned, and that are largely outside of the direct control of central government and (b) a shift toward administrative decentralisation that transfers specific decision-making powers from one sphere of government to another (may be from the government to non-profit and private sectors or constituencies).

2.5.1.2 Deconcentration

According to Cloete (2007:17), deconcentration represents the weakest form of decentralisation and also the least extensive. This is as a result of the fact that deconcentration involves the administrative shifting of workloads from one central point to a number of points but without giving the staff the authority to decide how the function should be performed. Rao and Scott (2011:1) regard deconcentration as the main form of

administrative decentralisation which refers to the transfer of power to central government officials who are dispersed and relocated across the country. For example, the Minister of the National Department of Human Settlements in South Africa serves at the national government level while the Mpumalanga Province MEC for Housing serves at the provincial government level. Deconcentration entails the transfer of bureaucratic powers, functions and resources from national government to lower government spheres (Vedeld 2011:161).

According to Ebel and Muwonge in Farvacque-Vitkovic & Kopanyi (2014:5), deconcentration is also referred to as administrative decentralisation because it denotes processes whereby regional offices of the central ministries are established in local jurisdictions for the purpose of deciding the level and composition of the local goods and services to be provided. Deconcentration with authority means that the regional branches of ministries do have the power to make independent decisions but only within central guidelines while deconcentration without authority means that regional offices are created but with no independent decision-making authority. When regional offices provide services (e.g. water, health), the local residents are likely to have little say in the scope or quality of the services and the manner in which they are provided. However, it should be noted that the central government retains its responsibilities and competencies for certain specific functions but mandates the carrying out of other functions to its regional/local departments or branch offices. According to Dafflon in Dafflon and Madies (2013:17) deconcentrated offices operate within a vertical hierarchy and are sometimes termed line ministries.

2.5.1.3 Delegation

According to Malan (2002:236), delegation implies that the central government retains a degree of control over the lower, autonomous government spheres. Rao and Scott (2011:1)

attest to this by stating that delegation refers to the transfer of authority and responsibility from central government to specialised agents or departments in the local government spheres. Cloete (2007:17) is of the view that delegation means the transfer of varying degrees of discretionary powers regarding planning and implementation of government policies to institutions that are technically and administratively capable of carrying these government policies out. The degree of autonomy of these institutions is higher than that of deconcentrated institutions. This may, in turn, be linked to the principal-agent theory which implies that the principal engages the agent to perform a function which involves some degree of the delegation of decision-making.

Delegation plays an intermediate role between devolution and deconcentration because it promotes principal-agent relationships between a higher and local government spheres. For example, a higher level government department such as the National Department of Human Settlements may delegate functions, such as housing, to provincial or local government spheres. However, in most instances, it is possible for such functions to be financed by transfers from the principal to the agent while the failure of the higher principal authority to pay for the delegated responsibilities may result in battles or conflicts. In most instances, local governments are entrusted with unfunded complex tasks (Organisation for Economic Cooperation and Development 2010:169). Nevertheless, if a delegation is funded, this may improve efficiency and enable units of the lower government spheres to administer national priority programmes in ways that reflect the local economic, social and financial circumstances. This may assist the national government to set minimum or standard levels of services. Ebel and Muwonge in Farvacque-Vitkovic and Kopanyi (2014:5-7) are of the view that, if the detailed, day-to-day decisions on service delivery remain at the local level, then an opportunity exists for funding new, creative and cost reduction ways in which to deliver those services. According to Dafflon in Dafflon and Madies (2013:17), delegation through devolution implies that local governments become direct agents with a mandate to act in place of the national government (principal) which then assigns the local governments with delegated powers and resources. This promotes the principal-agent relationships with the national government as the principal and local

government as the executing agent in compliance with the set terms in the contract of the national government as stated above. It is important to note that the contract norms and standards in respect of the delegated functions should be within reasonable limits, particularly as regards the resources allocated – see section 2.2. If the local goods and services to be delivered are not within such reasonable limits and the resources available are insufficient, this would mean that the local governments would not have the means to carry out the delegated functions efficiently.

2.5.1.4 Deregulation or privatisation

Outsourcing, privatisation, contracting out, asset management and PPPs are terms which are often used interchangeably. South Africa has also privatised government functions despite the view of Thorsen (2009:2) that outsourcing, privatisation, contracting out, asset management and PPPs are all factors of neoliberalism. Garcia-Zamor (2009:4) maintains that neoliberal policies: (a) exacerbate the level of income inequality existing in developed and developing societies, (b) foster a social segregation based on income and (c) decrease the amount of social equity that is present. This view is affirmed by Bevir (2011:8) who states that neoliberal reforms: (a) spread markets and new managerial practices, (b) fragment service delivery and (c) create quasi-markets and hybrid organisations. According to Mamabolo and Moyo (2014:949), neoliberalism should be understood primarily as a theory of how the economy ought to be organised and not as a political ideology in the same sense as political liberalism. Ndinda, *et al.*, (2011:766) regard neoliberalism as the cutting down of government expenditures on social services although Ubisi (2013:57) is of the view that the neoliberal approach adopted by the South African government is not doing justice to South African citizens as a result of the high rate of housing protests and demonstrations while, in some instances, housing service providers are paid billions of rands for non-rendered housing services. This view is supported by Mkhwanazi (2015:1) who reports that consultants (service providers) are costing government billions of rands while, in reality, they are merely duplicating the work of

government officials. The researcher in this study did, in fact, discover that, in some instances, government officials relied on progress reports compiled by the contracted housing service providers despite the fact that these government officials have been tasked with, *inter alia*, monitoring and evaluation functions for housing projects. In addition, the majority of the public houses provided are of poor quality and with numerous defects such as leaking pipes and cracked walls (Emuze, *et al.*, 2012:22-23).

The adoption of the New Public Management (NPM) model by several democratic countries, including South Africa, in the interests of improving service delivery through efficiency, value for money and managing results involves various stakeholders in the execution of government functions (Njuwa 2007:33). The main reason for this is because the restructuring in public administration evolved from the NPM transformation trends in government administration (Gibbens 2008:42). Bevir (2011:8) attests to this by stating that public sector reforms have given rise to the adoption of the new designs and practices of privatisation through PPPs. These new designs and practices which have been adopted, in turn build relationship between government and society. According to Ballesteros, García-Sánchez and Lorenzo (2013:54), decentralisation processes are among the most important reforms proposed by the NPM theory. The new public management model catalysed the outsourcing of government functions (Ambe & Badenhorst-Weiss 2011:455), including housing which is provided by outsourced housing contractors who are appointed in terms of the tender system. Government outsourcing involves political, managerial, financial and legal decisions. The main reasons behind outsourcing include: (a) cost savings, (b) improved performance, (c) increment of political responsiveness on the part of governments and (d) commitment to future financial obligations (Indiana University School of Public Environmental Affairs 2014:4 & 8).

2.5.2 Political decentralisation

Constitutionally, subnational or lower government spheres are assigned a high degree of political and fiscally authority because the decisions to decentralise are politically based. Political decentralisation refers to the arrangements whereby the legitimacy of local government is recognised, either explicitly in the national constitution or by statutory and administrative decisions. In most countries, political decentralisation involves providing for: (a) local elections, (b) division of spending responsibilities or competencies between the various types of governments, (c) assigning taxing authority to local governments, (d) rules and regulations relating to local borrowing and debt management and (e) a special status for capital cities. In the majority of developing countries, the political decentralisation process is centrally led and legislated with the central authority managing the decentralisation process (Ebel & Muwonge in Farvacque-Vitkovic & Kopanyi 2014:2). Thus, political decentralisation involves the transfer of certain powers from central government to elected local government politicians who are given the autonomy to determine all their local processes of development (Awortwi 2010:622). This is affirmed by Ebinger, *et al.*, (2011:555 & 559) who state that political decentralisation refers to the transfer of state functions to local government spheres, thus allowing local authorities to design and execute policies independently. Rao and Scott (2011:1) regard political decentralisation as the transfer of power to lower government spheres elected by local citizens and which have some degree of local autonomy. These lower government spheres are downwardly accountable to the citizens rather than to the central government. Political decentralisation is sometimes referred to as democratic decentralisation according to these authors because political leaders are appointed by the citizens. It should also be noted that political decentralisation requires a constitutional, legal and regular framework to ensure accountability and transparency.

2.5.3 Fiscal decentralisation

It would appear that social transformation in South Africa is presenting a huge challenge to municipalities. This is evident in the high rates of service delivery protests and despite the fact that section 52(a) of the Local Municipality: Municipal Finance Management Act (56 of 2003) requires mayors to provide political guidance in respect of the fiscal and financial affairs of municipalities. Section 52(c) of this Act also requires mayors to take all reasonable steps to ensure that municipalities perform their constitutional and statutory functions within the limits of the municipalities' approval budgets. The Local Government Budget Forum also represents another platform that may be used to eradicate municipal backlogs and facilitate the solving of social transformation problems. This forum is used by all three of the government spheres to consult on any fiscal budgetary or financial matters affecting the local government sphere (Department of National Treasury 2014:23). According to Matsiliza (2012:449), the mayor should play a visible role in providing political direction on the way in which the budgetary processes should be carried out based on the priorities of citizens and in accordance with the IDP. Dickovick (2011:30) is of the view that the provinces and municipalities in South Africa have significant political power including a constitutional guarantee of an equitable share of the national revenues. The Department of National Treasury (2014:21) confirms this view by stating that the revenue collected nationally is shared between the three government spheres. The White Paper on the Transformation of the Public Service of 1995 is aimed at transforming the public service into a coherent, representative, competent, democratic instrument for implementing sound financial administration in South Africa (Department of Public Service and Administration, 1995).

The Division of Revenue Bill (B5-2014) provides for the introduction of the split in the Human Settlements Development Grants (HSDG) into: (a) direct grants (schedule 5A) and (b) indirect grants (schedule 6A). The Municipal Human Settlements Capacity Grants (MHSCG) just introduced seek to establish habitable, stable and sustainable human

settlements in which all citizens have access to social economic amenities. The formula used to allocate grants was reviewed during 2013 and a revised formula was supposed to have been put in place from the 2014/2015 financial year to ensure a closer alignment between the provincial allocations and the number of households with inadequate housing in each province. The new formula was phased in over two years (2014/2015-2015/2016) to give the provinces sufficient time to adjust to their new allocations and competencies as regards delivering houses in their provinces (South Africa. Parliament of the Republic of South Africa 2014b:1). Schedule 5A provides for a direct grant which is transferred directly to the provinces for human settlement developments with the aim of establishing stable and sustainable human settlements in which all citizens have access to social and economic amenities and which, thus, enable an improved quality of household life. The Municipal Human Settlement Capacity Grant is also aimed at improving the coordination of urban programmes and the establishment of clear lines of accountability. The NDP recommends that the responsibility for housing should shift to the municipal level at which human settlements planning takes place (South Africa. Parliament of the Republic of South Africa 2014b:4).

The Rural Household Infrastructure Grant (hereafter referred to RHIG) was initiated in 2010/11 financial year as a schedule 7 grant but changed from schedule 7 to schedule 5 with effect from 2013. This grant provides specific capital funding for the eradication of rural sanitation backlogs and targets existing households where bulk dependent services are not viable. The primary purpose of this grant is to improve basic sanitation in the rural areas although the delivery of housing units is decreasing (South Africa. Parliament of the Republic of South Africa 2014b:6). It is important that information on the reasons for the decline/decrease in the delivery of housing units is disseminated to both housing beneficiaries and all citizens through participatory budgeting meetings. Section 1.5 of the White Paper on the Transformation of the Public Service of 1995 provides for effective consultation both within the public service and with society to promote the vision of the GNU.

As mentioned in section 1.2, the vision of the GNU is to continually improve the lives of all citizens through a transformed public service which is representative, coherent, transparent, efficient, effective and accountable and also responsive to all the needs of the citizens and in accordance with the White Paper on the Transformation of the Public Service of 1995. This requires the government, through the public service, to: (a) render services of an excellent quality to all citizens in an unbiased and impartial manner, (b) be consultative and democratic in its internal procedures and its relations with the public, (c) be open to popular participation and (c) be honest, transparent and accountable. In the interests of the public service sector rendering excellent quality services, the Public Service Act (103 of 1994) was promulgated with the aim of integrating the fragmented financial systems of the state administrations inherited from the apartheid era into a unified public service. Fiscal decentralised powers should be used by the three government spheres to effectively unify the public service. According to Bunch (2014:106), autonomy, including financial autonomy, enhances the opportunities for representing constituents. However, it should be noted that service delivery entails the provision of public goods and services by the government and, without adequate finances, it is impossible to render effective services (Ngwake 2012:313).

The new democratic government in South Africa promulgated the Public Financial Management Act (hereafter referred to as PFMA (1 of 1999) with the aim of promoting sound financial management in the public sector in order to maximise service delivery through the effective and efficient use of scarce resources. Nevertheless, financial corruption, fraud and theft continue in South Africa because the PFMA lacks the power to impose punitive measures on any transgressors of its provisions (Mathebula 2014:941). This may be said to have been catalysed by the cadre deployment policy adopted by the ruling party as a way of strategically placing loyal party members in positions requiring them to execute financial policies and implement programmes.

The cadre deployment contributes to multiple problems such as poor planning, ineffective leadership, underspending and the mismanagement of financial resources (Tshishonga 2014:891). Ebel and Muwonge in Farvacque-Vitkovic & Kopanyi (2014:5) state that the golden rule of capital finance is to establish financing mechanisms which provide for future generations of those who benefit from the capital infrastructures. In addition, these mechanisms must also provide the affordability of the payments for the benefits derived from using such infrastructures. The payments for capital goods should be spread over the infrastructures' useful life-span, efficiency and equitable ground. However, some rural municipalities have no revenue base collected from the residents and this limits such municipalities in broadening their budgets despite the fact that conditional grants and agency payments are designed to provide for national priorities in municipalities' budgets. The national transfer conditional grants to local municipalities are subject to the delivery of certain services in compliance with specific requirements. In addition, agency payments are also made by one department to another in the same or a different government sphere for services administered by the department receiving such payment. These grants (national and conditional) promote national norms and standards and provide support to local government developments because these grants are aimed at addressing backlogs and disparities in social transformation (Matsiliza 2012:448).

South Africa introduced the intergovernmental system in 1997 (Robinson 2002:1). This intergovernmental system decentralised budgeting by requiring all three government spheres to develop and adopt their own budgets. It also provides for transfers to provinces and municipalities. According to Dickovick (2011:3), fiscal relations arise from national, provincial and local government spheres while intergovernmental fiscal relations elements include: (a) revenue, (b) tax distribution, (c) expenditure responsibilities and (d) independence of various government spheres in contracting, for example, labour. Dafflon in Dafflon and Madies (2013:36) is of the view that financial transfers constitute the backbone of decentralisation because the resources of local governments are often limited and have to be supplemented by adequate levels of intergovernmental grants for recurrent operating, investments and equipment expenditure. The provincial and local government

spheres in South Africa are constitutionally guaranteed an equitable share of the national revenues. The national government plays a technical role in splitting up of the fiscal resources but has little discretion over the exact total percentages of revenues which must be distributed to the provincial and local governments. The main reason for this is that the distributions of revenues are made on the basis of the equitable share formula of the National Treasury. This formula is used to divide revenues annually in terms of the national Division of Revenue Act (hereafter referred to as DORA) (1 of 2015) submitted by National Treasury and passed by Parliament. The revenues are divided annually using the national DORA which is submitted by Treasury and passed by Parliament (Dickovick 2011:30 & 77).

When the annual budget is presented, the Minister of Finance (agent) must introduce, before the National Assembly (principal), a Division of Revenue Bill for the financial year in question. This bill provides for the equitable division of the revenue raised nationally between the three government spheres for the financial year in question. A Division of Revenue Bill is promulgated each year. Cooperation between the leadership of the three government spheres allows for effective revenue sharing as regards the implementation of capital municipal projects such as housing infrastructure and road constructions. This is made possible through the budget council and local government budget forum which act as advisory bodies on matters of national finance to the ministerial committee members (Matsiliza 2012:447). In 1998, the democratic government introduced the Medium-Term Expenditure Framework (hereafter referred to as MTEF) as a three (3) year rolling spending plan for both national and provincial departments. Medium-term budgeting reinforces the link between budget policies and service delivery while it also strengthens political decision making and accountability (Robinson 2002:2).

MTEFs are used by the National Treasury to control budgets and provincial expenditures. Strong relations between National Treasury and the provincial treasuries are essential in order to reinforce the principle of cooperation in the division of revenue. The Budget

Council brings National Treasury and the provincial finance MECs together through sectoral meetings and, in so doing, the principle of financial interdependence between the national and provincial government spheres is promoted (Dickovick, 2011:106-108). Section 220(1) of the Constitution of the Republic of South Africa, 1996, mandates the Finance and Fiscal Commission (hereafter referred to as FFC) to make financial recommendations to Parliament, provincial legislatures and any other authorities determined by national legislation while, particularly in view of the independency of the FFC, section 220(2) of the Constitution of the Republic of South Africa, 1996, requires the FFC to be impartial when executing its recommendation activity (South Africa. Constitution, 1996). The FFC helps to obviate any financial challenges but, if they, arise the FFC reports these financial challenges to the South African Parliament (Dickovick, 2011:76).

Fiscal decentralisation is a funding mechanism that underpins all forms of decentralisation. It includes the transfer of funds and, sometimes, revenue-raising powers from the national government to the lower government spheres. However, resource allocations are often negotiated between central and local units based on various factors. These factors include interregional equity, availability of resources and local financial management capacity (Rao & Scott, 2011:2). According to Berry, *et al.*, (2012:11), every government has an obligation to provide public goods to all citizens equally. Public goods refer to those services (benefits) which are made available to every citizen by the government in power. Another obligation of government is to provide collective goods. Collective goods are goods and services which include clean air and water. These goods, by their nature, may not be denied anyone (Edwards, *et al.*, 2012:11). However, the provision of public goods depends on the availability of funds (Ngwake 2012:313). Multi-layered countries such as South Africa transfer financial authorities from the national government to the provincial and local governments through fiscal decentralisation. However, there are four (4) fundamental questions which must be addressed or answered before the fiscal decentralisation processes are implemented, namely, (1) Which sphere of government does what (expenditure assignment)? (2) Which sphere of government is responsible for

obtaining which revenues (revenue assignment)? (3) How may fiscal imbalances between the national and subnational units and across subnational jurisdictions be resolved in cases in which decentralising spending is almost greater than that of decentralising revenue generation (a role for intergovernmental transfers)? (4) How should the timing of receipts and payments for capital spending be addressed (borrowing and debt)? (Ebel & Muwonge in Farvacque-Vitkovic & Kopanyi 2014:2). It must be pointed out that fiscal decentralisation promotes fiscal autonomy.

Fiscal autonomy implies that subnational governments (SNGs) are independent and, thus, they no longer depend on national governments for their revenues. Another source of revenue for subnational governments is intergovernmental transfers (IGTs). If the provincial and local governments are free to spend their revenues on whatever they wish, they may be regarded as autonomous because autonomy as regards expenditure implies that the provincial and local governments are deemed to be autonomous in view of their having control over their expenditures (Dickovick 2011:4). It should be noted that subnational governments may be provincial, regional, state and/or local government depending on the country or state's government system. In federal states such as Germany, fiscal relations exist between the federal, state and local government spheres. However, fiscal relations should also be extended to the citizens through participatory budgeting (hereafter referred to as PB) processes. PB is an instrument of localism (devolution of political governance) which is aimed at establishing sustainable, democratic communities. PB was first introduced in the United Kingdom (UK) by the Labour Government in 2008, as a way of providing financial incentives in exchange for participation and assisted government to present government grants to communities for the purposes of locally directed expenditures. Thus, PB represents a change between state and society as government becomes more reliant on communities to implement policies, including human settlements policies (Leyshow & Moir 2013: 1002-1003).

The participatory budgeting process is also a tool for educating citizens through community engagements as it empowers citizens as regards gaining knowledge about various budgeting aspects such as planning, implementation, monitoring and evaluation. Values such as equality, inclusiveness, information-sharing and public reasoning are crucial for the success of PB as PB aims at fusing the values of citizen participation into the formal procedures of governance. It is essential that these formal procedural process must start with the identification of community needs through public forums (fora) and public meetings and then proceed through several stages of organised and formalised public budgeting. During budget formulation and analysis, the citizens must participate in allocating a budget according to their priorities which were identified. These priorities should be agreed upon by all stakeholders involved in the fiscal decentralisation processes. In addition, the citizens should also be involved in the monitoring of expenditures in terms of the budgets allocated.

The annual auditing and evaluation of programmes and projects by agents should also be aligned with both the national policy objectives as well as the performance targets of department for the purposes of accountability and transparency. The aims of local governments in adopting PB programmes include (a) building strong political support at the grassroots level by: (i) achieving a more equitable distribution of scarce resources, (ii) fostering budget public learning and (iii) promoting accountability and transparency in government and (b) promoting social justice by addressing inequity in society, especially in areas in which the majority of people were previously marginalised and excluded from economic activities. PB structures should be created in order to provide a platform for the participants to gain access to information and to interact with officials and bureaucrats so as to resolve the legal and technical problems in their societies by using civil society organisations (hereafter referred to as CSOs) in public debates and fora, building broader networks and using the resources of their civil societies to influence policy decisions. The PB process provides citizens with the opportunity to make inputs and decide on budget plans that are in line with the availability of actual resources. PB allows municipalities to identify service delivery gaps in a wide range of programmes that are due to be/are being

implemented by the local authorities. However, PB requires a proper empowerment mandate to enable citizens and other parties to participate effectively. Representatives and other stakeholders must assemble on a monthly basis to ensure constant communication with the PB office and to allow the feedback process to furnish updates on the progress made in solving societal problems. Thus, an effective and efficient PB model should enhance a more responsible and accountable governance that delivers quality services (Matsiliza 2012:445-446 & 451).

2.6 Democratic decentralisation in Germany, South Korea, Tanzania and Uganda

Germany, South Korea, Tanzania and Uganda all have decentralised government systems. The local governments or municipalities in these countries are responsible for delivering basic services to the communities. As discussed in section 1.2, local government in South Africa is also responsible for delivering basic services to communities. The four countries mentioned above are discussed below.

2.6.1 Germany

Access to adequate housing is a global challenge (United Nations 2015:2) and Germany is no exception. Since the 1980s, the owners of houses have been legally encouraged to privatise their social housing stock, preferably by sitting tenants, in order to provide adequate housing and basic services to those who are unable to provide adequate housing for themselves. Housing is one of the most German's central issues in urban planning and development. However, inefficiency has been an administrative state problem since the 1990s and has resulted in difficulties in ensuring coordination (Wollman in Schröter & Wollman 2000:17-18). Ownership of a house, to a large extent, indicates a certain level of

economic prosperity. Key housing projects were initiated to enable people in need of low-cost housing to use legally vacant dwellings. One such project is the Leipzig housing project. Numerous homes and office buildings were left empty during the socialist era and, thus, this project is aimed at addressing housing challenges and redressing the social equity resulting in the injustice of excluding other people from the protected housing class. Thus, the project aimed at creating opportunities for choice making by the community as a whole and not only by those in need (Garcia-Zamor 2009:1-2 & 4).

One of the cooperation housing projects in Germany is the National Model Project. The essence of this project is to create a clear vision of redevelopment within a number of German towns. In essence, the National Model Project is a cooperative housing project between the municipal, state and national authorities from various departments. This project created a forum known as “future lounges” which was used by political leaders to discuss and debate issues of development in order to create a more unified German view of urban development. The goal of such discussions is to resolve housing challenges/concerns and create a clear vision for future housing solutions (Garcia-Zamor 2009:8). However, it should be noted that the German’s National Sustainable Development Strategy (NSDS) integrates all the dimensions of sustainable development and quality of life, social cohesion and international responsibility. The high-ranking coordinating and monitoring body for sustainable development is the State Secretaries’ committee which was formed in 2000. This committee decides on strategy and the further development of strategy – subject to subsequent formal approval by the cabinet. In 2009, and again in 2013, delegates from the municipal umbrella organisation in Germany discussed questions of land use for housing and infrastructure with the federal government in a meeting of the State Secretaries’ Committee for Sustainability Development. In January 2012 the State Secretaries’ Committee held discussions with ten mayors (members of the Initiative Dialogue Sustainable City) on all the challenges of sustainable cities and possible further cooperation.

The Green Cabinet consists of state secretaries who represent each ministry and is chaired by the Head of Federal Chancellery. This Head of Federal Chancellery serves as the main leader in the National Sustainable Development process although the responsibility for the process does not lie with one ministry alone as the Chancellery itself is in charge of the topic. This mechanism is considered as the key factor in the success of sustainable development in Germany. The Federal Government consists of the Federal Chancellor and the Federal Ministers. As regards the NSDS, the Chancellery plays a coordination role, managing the NSDS processes and providing important inputs to the relevant ministries. In terms of political leadership, the NSDS falls under the Chancellery's authority in terms of determining general policy guidelines and administration. This is implemented by means of a link between the Chancellery and the respective ministries who are responsible for a specific issue, for example, the Ministry of Housing. Currently, there are 2600 local authorities in Germany. The Basic Law guarantees municipalities the right to regulate: (a) their own responsibilities and (b) all local affairs within the limits of the laws and associations of municipalities. These municipalities also have the right of self-government according to the law.

Debates continue in Germany as to whether: (a) the state should be responsible for providing adequate housing for those who are not able to afford to provide adequate houses for themselves and (b) the state should be responsible for the housing market because, in certain areas, the provision of housing for low-income individuals and families is a joint effort between the public and private sectors. It is vital that social equity, as an integral component of urban development, must be understood and supported by both policy makers and community leaders. In an attempt to provide adequate housing, the *Haus Halten e.V.* housing project, which was aimed at avoiding mass demolitions and also the deterioration of Leipzig's historic buildings, was introduced. This is a civic initiative which focuses on creating a win-win situation for both the owners of the numerous vacant buildings across the city and potential tenants. Its main objective is to alleviate the owners' burden of having to constantly maintain and protect uneconomical properties. This is done by appealing to the occupants of these buildings who are then assigned the responsibility

of maintaining the buildings and, in return, are permitted to reside in the building rent-free. Thus, *Haus Halten e.V.* functions as the link between the owners who do not wish to sell their houses but also have no current use of them and the civil groups who, despite a lack of financial capital, want to reside in the buildings and, possibly, create employment opportunities through their use of the buildings.

In terms of the *Haus Halten e.V.* project, the following three agreements were made: (a) the house is considered to be a cultural landmark, (b) the agreement fosters employment and (c) the entire project promotes the development of the neighbourhood with the civil groups wanting to benefit from this project often putting forward a business idea (usually some type of shop) that results in part of the house being used. If this condition (business usage of part of the house) is met, each participant must become a member of *Haus Halten e.V.* and agrees to rehabilitate the house while the owner agrees to pay for the necessary materials and to request reimbursement for the costs incurred only but no rent from the participants. The time frame for such an agreement is five years. During this period, the *Haus halten e.V.* remains the link between the house owners and the project participants although the participants negotiate with the house owners through their representatives. This project has succeeded in providing both affordable accommodation for those who may not have the means to afford an apartment and also the opportunity for owners to maintain their buildings at a reduced cost (Garcia-Zamor 2009:4-5 & 8-9). In federal states such as German, power is shared between the government spheres (Rose in Bernhagen *et al.* 2009:14; Enderlein, *et al.*, 2010:18). The main principle of federalism is that two or more government spheres exercise power and authority over the same people and the same territory (Berry, *et al.*, 2012:102). Germany has achieved its goals of promoting: (a) human dignity, (b) civil rights, (c) fundamental freedoms and (d) democracy for the entire German people in a society that is based on the rule of law and strengthened by social justice after its reunification which resulted in the formation of the Federal Republic of Germany in 1990 (Wollmann in Schroter & Wollman 2000:2; Fisher 2009:xviii & 14). In federal states the federal government is at the top of the hierarchy, the federal states are in the middle and local governments at the bottom (Kincaid in Meek & Thurmaier 2012:27). The upper

level of government in Germany consists of ministries and chancelleries while the middle level is divided into government areas or districts which headed by the president. These government districts form the middle level of administration (Fisher 2013:15 & 42) while the lower level consists of administrative authorities or lower authorities of the *Länder* (Fisher 2009:15).

The decentralisation and the establishment of local governments in Germany represent the integration component of political reform (Krämer & Reicher 2008:2 & 4). Political decentralisation implies the delegation of tasks, responsibilities, resources and political decision-making authorities to lower government spheres while administrative decentralisation implies that local governments must have in place geographically defined administrative units with each unit being responsible for its own separate set of tasks, sufficient resources and democratically legitimised representative bodies. On the other hand, fiscal decentralisation implies the devolution of responsibilities in order to establish autonomous revenue and expenditure policies. Deregulation decentralisation entails the transfer of public functions to non-governmental agencies and the private sector. The post-apartheid South African intergovernmental system was modelled largely on the German system (Wittenberg 2003:6). Robson (2006:109 & 157), confirms this by pointing out that the German model of concurrent powers was applied in the drafting of the South Africa's 1993 Interim Constitution which was implemented on 27 April 1994 and largely retained when the Constitution of the Republic of South Africa, 1996 was drafted. Robson (2006:109 & 157) regards the legislation transformation which took place from 1910 to 1994 in South Africa as a form of decentralisation although the power was totally centralised at the national level before 1994. Germany built its federal system on the functional division of powers in concurrent areas although the federal sphere makes decisions which are then implemented by the states and local spheres (Braun in Enderlein, *et al.*, 2010:169).

Germany's basic law prohibits the federal government sphere from spending any money in areas that are not within its competence (Hallerberg in Enderlein, *et al.*, 2010:126). Germany has one single civil service without intergovernmental flexibility. This system was justified by the need to avoid destructive competition between the vertical administrative levels and between the states (*Länder* or local authorities) (Hoffmann-Martnot & Wollman 2006:90). The Basic Law (*Grundgesetz*) in Germany and which is regarded as the constitution of the country addresses the composition, functions and powers of legislative and executive authorities comprehensively (Federal Parliament) (Robson 2006:105). The federal state is sovereign and its power is exercised by the people in elections – the principle of representative democracy. Representative democracy is a form of government in which the citizens exercise power indirectly by choosing representatives to legislate on their behalf – see section 2.3.

The Basic Law may be amended by legislation subject to approval by a qualified majority of two-thirds of the members of the Federal Council (*Bundesrat*) (Fisher 2009:8-9). The Basic law also guarantees the right of a municipality (*Gemeinden*) to administer all local matters concerning local communities by: (a) providing services and making public facilities available and (b) passing bylaws (*Satzungen*) in terms of self-governing mandates. The organs of municipalities are legislative and executive while all local matters which are beyond the capacity of municipalities are dealt with by the *Länd-Kreis* which includes the following organs: (a) *Kreis* Parliament (*Kreistag*), (b) *Kreis* Council (*Kreisausschuss*) and (c) Chief Executive (Fisher 2009:17-18). It must be pointed out that the principle of democracy (*demokratieprinzip*) requires each member of the state to exercise its self-determination right by requiring the consent of the citizens (Fisher 2013:15). The largest number of public employees are at the local level (*Gemeinden*), primarily as a result of the fact that the local authorities provide many of the service delivery functions directly to the citizens (Hoffmann-Martnot & Wollmann 2006:90-91). However, in an effort to modernise the public sector in order to improve service delivery, Germany adopted the NPM model in the beginning of the 1990s. This model was implemented in the municipalities and states but it did not have any impact because local

government in Germany had been contracting out social service delivery to non-public and non-profit-making organisations (Wollman in Schröter & Wollman 2000:17). According to the United Nations Development Programme (2012:26), the promotion of good governance in Germany is a central feature of German Development Cooperation (GIZ) and also an important area of activity for the Federal Ministry for Economic Cooperation and Development (BMZ). In pursuing this objective, the BMZ cooperates with government institutions and also with actors in civil society. According to Majer (2013:3,7) Nazi Germany was ruled exclusively by the will of one person and everything was from the top to bottom due to the administrative bureaucracy which was an independent element within the Nazi system. Subsequently, in order to promote collaboration and cooperation, non-bureaucratic actions were taken to pave the way for democracy.

2.6.2 South Korea

According to Lee (2008:65-67) South Korea sourced the decentralisation models of Britain, France, Japan and United States to assist in (a) granting powers to lower government spheres, (b) delegating functions and working mechanisms within local authorities, and (c) distributing functions and finances between the central and local government. However, both the functional and financial delegation was limited because of the extent of the functions and financial powers vested with the central government. This resulted in the majority of local authorities suffering severely as a result of the financial autonomy, even expenditure for salaries. In addition, the administrative functions are not appropriately allocated between the central and local government spheres. The relationship between the central government and local government is built on the agency-principal model, mainly for the administrative convenience of central authorities. In some instances, local governments are allocated unfunded, complex responsibilities. The allocation of unfunded, complex responsibilities is common practice in most decentralised countries – see section 1.2. However, political decentralisation to the majority of

politicians in South Korea was rewarding politically because their political interests were met. This is also the case in South Africa with the cadre deployment policy as mentioned in section 2.5.3.

In order to address local government issues and check and balance power between the central and local governments, the National Association of Local Authorities (hereafter referred to as NALA) was organised by the leaders of local councils in 1991. The NALA is a nationwide association of local governments although it does not have the legal power to implement its policies under its own name. Its members make regulations which the local governments then have to incorporate in their policies. The members of the association are obliged to report to the association and to maintain the unity of the association. The association contributes to protecting local interests in the political sphere because, if necessary, its members make their voices heard in the central policy making processes and sometimes try to avoid difficult local choices by presenting alternative projects to the central government sphere. The association may also either accept or refuse central interventions. For example, the association passed a resolution calling for the refusal of National Assembly inspections of local governments in 1991 and presented local council inspections as an alternative. Since the economic crisis in 1997, the South Korean administrative reform pursued has been based on the principles of the New Public Management (NPM) model. The South Korean government has set three administrative reform goals, namely, (a) structure operations and provide service according to market-orientation, (b) improvement of government performance and (c) customer-oriented principles (Lee & Yu 2013:87).

Although, as stated by Lee (2008:70), the decentralisation of power implies a loss of power to the individuals who are decentralising the power, South Korea: (a) initiated the first round of decentralisation by introducing a local autonomy system which involved the election of council members in order to decentralise state power and (b) began to elect local officials (mayors and governors) in 1995 in order to achieve the objectives of the

1990 democratisation and associated decentralisation projects. The South Korean government had implemented the local autonomy system in 1991 which allowed each local government to organise a municipal council of its own with the local residents electing the council members. From 1995, heads of local governments have been popularly elected in order to: (a) give local governments more autonomy and authority in matters of finance and decision-making and (b) devolve and accelerate economic development responsibilities from the central to provincial and local governments. A special bill on decentralisation was passed in the National Parliament in December 2003. This bill included measures aimed at empowering local governments with more housing rights and responsibilities than had previously been the case (Park 2008:47 & 51).

According to Lee (2008:61-62 & 65-66), the process of decentralisation in South Korea resulted from various social problems which had led to the adoption of self-government practices. This was boosted by the 26 April 1988 general elections in which two major opposition parties, namely, the Party for Peace and Democracy (PPD) and the Reunification and Democracy Party (RDP), came to control large number of constituencies. This left the government with no choice but to accept the demands of the opposition. Lee (2008:61-62 & 65-66) points out one of these demands was the amendment of the Local Government Act in 1989. This resulted in the local election for both smaller-tier councils and large-tier councils being held in June 1991. The local elections were viewed as democratisation which was then used as a structured approach of achieving visible goals in social welfare and citizen participation rather than merely an opportunity for more reforms. The local government is controlled by the Ministry of Home Affairs in almost every field of its operation including personnel and organisational management. The 1987 Constitution declared South Korea to be a democratic republic.

Article 14 of this constitution stipulates that all citizens shall enjoy freedom of residence and movement while Article 17 states that all citizens have the right to privacy of life (Korea. Constitution, 1987). These provisions were supplemented by the promulgation of

the Korea Housing Act (9602 of 2009). Article 7 (1) of this Act provides for the formulation of a comprehensive housing plan by the Minister of Land, Transport and Maritime Affairs and the implementation of such a plan including the provision of housing to the low-income citizens or houseless citizens who require support in order to improve their residential welfare. Article 16 (1) provides for the approval of the project plan of any housing project executor who intends to implement a housing project which aims at constructing housing with more than the number of households prescribed by the Presidential Decree, or who intends to carry out a project preparing a housing site. Any project executor should submit a written application for project plan approval together with a required documents pertaining to the plans for housing, incidental and welfare facilities, housing drawings and specifications for the housing sites as prescribed by the Presidential Decree to a competent mayor or governor, who is then responsible for approving the housing project plans. After approval has been granted, the application must be submitted to the Minister of Construction and Transportation. The project is carried out by the State, the Korea National Housing Corporation and the Korea Land Corporation as prescribed by the Presidential Decree.

Article 60 (1) of the Korea Housing Act (9602 of 2009), mandates the government to establish the National Housing Fund to ensure there are no disruptions in the provision of housing. In terms of Article 60 (2) of the Korea Housing Act (9602 of 2009), the National Housing Fund is funded by: (a) government donations or deposits, (b) funds contributed by the Public Capital Management Fund under the Public Capital Management Fund Act, (c) funds which have reverted to the government out of funds for reconstruction under the Act on the Redemption of Surplus Profits from Housing Reconstruction, (d) deposits under Article 61 (deposit funds in the National Housing Fund), (e) funds raised by issuing National Housing Bonds under Article 67, (f) lottery profits which are distributed under Article 23 (1 of the Lottery and Lottery Fund Act) and (g) savings of people who want to be provided with national housing as prescribed by the Presidential Decree. Article 62 (1)(i) mandates the Minister of Land, Transport and Maritime Affairs to operate and manage the National Housing Fund. Article 84 (1)(i) requires the Minister of Land,

Transport and Maritime Affairs to convene a housing policy deliberation committee to deliberately address the following matters related to housing policy: (a) setting or altering the minimum standards for residential accommodation, (b) formulating or amending a comprehensive housing policy, and (c) designating, changing or cancelling a projected housing development district under Act on the Promotion of Housing Site Development, provided the same shall apply to areas of less than 200 m² and not situated between more than two metropolitan cities. Another source of local revenue in non-metropolitan cities is intergovernmental fiscal transfers (Berman, Choi & Moon 2010:16). Article 2(1) of Act (9932 of 2010 on the Promotion of the Creation of a Family-Friendly Social environment) describes a family as a family-friendly social environment where members of society: (a) are able to harmonise work and family lives, (b) raise children accordingly, (c) enjoy the support of family members and (d) share social lives. According to Article 2(2), a family-friendly working environment means a working environment in which a family-friendly system helps workers to harmonise their work and family lives. Article 3(1) of this Act mandates the state and local governments both to formulate and implement the comprehensive policies which are necessary to create family-friendly social environments and draw up budgets for family-friendly social environments as provided by Article 3(2). It should be noted that the Democratic Republic of Korea comprises the following three government spheres, namely, (a) central, (b) provincial and (c) local government (metropolitan cities and municipalities which include smaller cities and counties).

As a society, Korea is based on the principles of Confucius (Lee & Yu 2013:87). Confucius's principle is that a man is perfectible. According to this principle: (a) seeing people struggle everywhere is not natural and normal living should result in the solving of social problems through cooperation in order to find reasonable and moral solutions, (b) it is incumbent on the agents of the government or government officials to cooperate on behalf of the citizens (principal) in order to promote harmonised relations, (c) the ruler's success should be measured by his/her ability to bring welfare and happiness to all people while the government in the hands of good, trained ministers who are chosen on the basis of merit, thus superior man must rule, (d) the highest ministers should be appointed on the

basis of their virtue and ability and regardless of birth, (e) the rationale for organising society begins with positive thinking (cosmic order) and society's hierarchy of superior-inferior relationships, (f) the ruler must rule as he/she should while the minister should be ministers as they should and, finally, (g) if all people conduct themselves in accordance with their proper social roles, all would be well (Hayes 2012:3-5). As stated above, to ensure that things are well in a country, constitutions are promulgated to serve as the basic laws of nations that create political institutions, allocate power within government and provide guarantees to citizens – see section 1.10.3. South Korea drafted its first Constitution in 1948. This Constitution has been amended nine (9) times and almost completely rewritten five (5) times (Constitution 1960, 1962, 1972, 1980 and 1987). The 1987 Constitution resulted from the June Democratic Uprising which is also known as the June Democratic Movement or declaration of democratisation. This uprising was seen as a nation-wide democratic movement in South Korea and it generated mass protests from June 10 to June 29 1987. In view of South Korea's social movement sector was already well developed by that time, these public protests provided crucial the “bottom-up” pressure that contributed to the ruling bloc's decision to institute political reforms (Parker 2014:11). The ruling government was pressured by the public protests or demonstrations to hold elections and institute other democratic reforms which led to the establishment of the first democratic government in the country.

Fuqua (2011:viii) is of the opinion that unification in Korea, which implies union between the Republic of Korea (South Korea) and the Democratic People's Republic of Korea (North Korea) entails: (a) creating a single Korean polity and (b) constructing a unified Korean nation by addressing the needs of Korean people and integrating the disparate political and economic systems and cultural forms. However, Hayes (2012:129) maintains that, as a result of the fact that North Korea is indebted to Russia, Russia has power to promote Korea unification. Hayes (2012:129) suggests three ways in which a democratic decentralised Korean state may come into being, namely, (a) by force, (b) mutual consent as in Germany and (c) negotiation and agreement as in South Africa. As mentioned above, Keating (2009:25-26) mentioned that the South Korean government wished to encourage

and assist North Korea to become a viable member of the international community and set out a three-pillared unification policy. The 1987 Constitution declared South Korea a democratic republic. Its territory comprised the Korea Peninsula and the adjacent islands. The Republic of Korea (South Korea) aimed at seeking unification of North and South Korea and formulating and carrying out a policy of peaceful unification based on the principles of freedom and democracy or democratic means in accordance with the establishment of the newly constitutionally formed Democratic Republic of Korea. However, Lankov (2013:9) is of the view that neither (North nor South) state recognised the other with each government claiming to be the only legitimate authority on the entire Korean peninsula. Nevertheless, both states claim that national unification is their paramount political goal.

The three-pillared unification policy include the following: (1) there must be a democratic national consensus (2) in pursuing eventual unification, South Korea will endeavour to promote co-existence and co-prosperity with North Korea and will not try to isolate or contain North Korea (3) in achieving full unification, the government of South Korea will pay less attention to political ideology and will, instead, stress the goal of national well-being. National well-being in this context encapsulates the universal values of freedom, welfare and human dignity in order to promote democracy. However, it is incumbent on each side to make an effort to learn to respect the other. By so doing, the dilapidated condition/s in North Korea may be alleviated. In this vein Hayes (2012:29 & 123) pointed out that North Korea's economy diminished by nearly 50% in 1990 while there were widespread famine conditions in the country from 1995 to 1997. As compared to North Korea South Korea has stronger economy, a more vibrant society and greater stability in terms of the foundation of its political ideology. Unification should result in nation-building by unifying both the South and North Korea citizens (Fuqua 2011:xiv). According to Thomas (2010:19) and Hayes (2012:xii) Korea, in common with many countries, was officially colonised by Japan in 1910 although Pratt and Rutt (2013:148) are of the view that real colonisation in Korea started in 1945. The division of the country (Korea) had become a reality by late 1946 and, in 1948, two Korean states came into being (Lankov

2013:9). These two states are the Republic of Korea (hereafter referred to as ROK) (South Korea), which was proclaimed in Seoul on 15 August 1948, and North Korea, which announced the founding of the Democratic People's Republic of Korea (hereafter referred to as DPRK) (North Korea) and which was proclaimed in *Pyongyang* on 9 September 1948. However, the ROK claimed legitimacy over the entire peninsula (Hayes 2012:112). Colonisation is not discussed further because the focus of this study was democratic decentralisation.

2.6.3 Tanzania

The Government of Tanzania (hereafter referred to as GoT) adopted the decentralisation by devolution (D by D) principle in the 1990s and drafted a policy paper on local government reform. This led to the Local Government Reform Programme (hereafter referred to as LGRP). The LGRP was introduced in 2000 with the aim of focusing on development initiatives in the local government sphere. The main aims of the LGRP were to: (a) transform local government administrators into both competent strategic leaders and coordinators of socio-economic development, (b) establish accountable and transparent service delivery, and (c) reduce poverty in the local government authorities (hereafter referred to as LGAs) (Tibamwenda 2009:13). Mgonja and Tundiu (2012:206) regard the LGRP as part of the perceived second wave of decentralisation which: (a) is associated with good government, (b) establishes initiatives to strengthen local institutions with the objective of making governance system more accountable and (c) is more open, transparent and democratic than was previously the case. Good governance stresses the importance of building local ownership and creating a more efficient and effective system of governance which is capable of addressing local needs.

The LGRP was expected to improve the quality, access and equitable delivery of services, including public housing services, particularly to the poor. Decentralisation in Tanzania

demands the reconstitution of the state through the creation of a viable local government system and should involve the checking of the power of central government by allowing political autonomy and policy participation not only to administrative districts but also civil society organisations (Engel, Erdmann & Mehler 2000:123). However, Njuwa (2007:32-33) is of the view that social and human development needs had become both complex and diverse in Tanzania and required cooperative efforts by the various role players involved in public housing service delivery in order to ensure an effective contribution to social and human development needs. A cooperative public service delivery (hereafter referred to as CPSD) model was adopted to promote such cooperative efforts. The CPSD model provides for a shift in government's control of development processes to maintenance of public administration in controlling policy formulation and implementation. This implies that public administrators are compelled to work with other partners such as NGOs, private enterprises, trade and cooperative unions and community groups in the delivery of public goods. The CPSD model ensures that privatised public services are more controlled and taxes are effectively collected. Nevertheless, although this model works well, Tanzania still needs to take certain steps to maximise the benefits from the CPSD.

These steps include: (a) the development of processes for the formation of partnerships to ensure thoroughness, openness, transparency and fair order to avoid the possibility of cheating and corruption, (b) putting in place a mechanism to track the past performance records of potential partners, (c) equipping government officials with the required knowledge and skills, especially in areas of: (i) contract negotiation, (ii) formal agreements, (iii) legal sanctions, (iv) managing partnerships, (v) performance evaluation (vi) coordination, (vii) monitoring and evaluation, and (viii) value-for-money in order to ensure that the CPSD demands of public organisations are effectively met, (d) partners conducting regular, public-private meetings to share their experiences and to get rid of the tradition of public-private mistrust, and (e) strengthening coordination, monitoring and capacity to ensure that the private operators (private enterprises, NGOs, CBOs, among others) carry out their activities as stipulated in the acts pertaining to their establishment –

there are numerous private operators all over Tanzania. The CPSD has significantly strengthened the ability of Tanzania's public administration to contribute effectively to the social and human development of the people. Citizen trust, confidence and satisfaction, which had almost completely disappeared in the 1980s and early 1990s, have started to re-emerge. Development should be the product of collective effort and responsibility and shouldered by the government, private enterprises, NGOs, CBOs, cooperative and labour unions and capable individual persons in order to serve the social and development needs of communities more effectively and efficiently than was previously the case (Njuwa 2007:38).

Decentralisation in Tanzania is aimed at enhancing the efficient execution of development projects and provision of services which were under the control of central government. This reason for this was that the central government ministries: (a) held control over both the financial and human resources and (b) instructed the councils through the regional administrations in the operationalisation of the service delivery responsibilities at the local government level while the outcomes of such instructions were not formalised. Good governance in Tanzania means ownership is one of the important components of good local governance. In order to improve good governance at the local level in Tanzania, the LGRP must address: (a) giving the LGAs political power over all local affairs, (b) improving financial and political accountability, (c) enhancing and securing the finances required for improved public services, (d) creating a better and more effective local government administration which is answerable to the local councils, (e) de-linking local personnel from ministries and making them accountable to the councils and (f) establishing new central-local relations based not only on orders but on legislation, consultations and negotiations. The LGRP's vision includes the following four main policy goals, namely, (a) political decentralisation, (b) fiscal decentralisation, (c) administrative decentralisation and (d) changed central-local relations (Mgonja & Tundui 2012:206 & 209-210; Mhlari 2014:15).

Fiscal decentralisation and the devolution of taxing and spending powers to lower levels of government are some of the important tools in the decentralisation governance systems of the developing countries and also the major sources of funding. The LGAs in Tanzania are funded by: (a) own revenues, (b) central government transfers and (c) development aid (Mgonja & Tundiu 2012:212). Decentralisation programmes improve governance and, thus, Tanzania chose decentralisation primarily as a means of improving the quality of the public housing services (Faguet 2011:2). From 1961 to 1966, the central government assisted by its ministries and the regional and district administration or administrators, was responsible for the delivery of public goods and services. Tanzania adopted socialist policies in 1967. These socialist policies resulted in the removal of the private providers of public services from 1967-1988 and also led to the nationalisation policy which culminated in the formation of public enterprises comprising more than four hundred and fifty (450) parastatal organisations. These organisations became the major instruments of public policy implementation. Between the 1980s and early 1990s, Tanzania was rocked by a serious economic and political crisis (Njuwa 2007:34-35). However, since 1990s, the Tanzanian government has embarked upon ambitious and far reaching reform programmes with the aim of improving socio-economic conditions and also ensuring good governance through the establishment of reformed and autonomous local institutions and with the LGRP as one of these programmes. Lofchie (2014:1) affirms this by highlighting that Tanzania underwent transformation processes which included transforming: (a) its economy from state ownership and control to a market-based system and (b) its political system from a constitutionally entrenched, single-party system to an openly competitive multiparty system.

2.6.4 Uganda

The Ugandan government adopted the Baraza programme as a means of strengthening the decentralisation and democratisation processes in 2009. This Baraza programme which was a Presidential initiative aimed at strengthening the decentralisation and

democratisation processes by involving the citizens in the national development processes, including housing processes. By 2014, all the Bazara programmes implemented were result-oriented in that they served as a corrective strategy for: (a) enhancing public trust, (b) enhancing government's responsiveness and (c) rebuilding government popularity and image. The Bazaras also serve as citizens' fora and are conducted in several districts (Kasanga 2014:1). Mubangizi, *et al.*, (2013:779) are of the view that the Baraza programme was initiated as a result of the fact that Uganda has no specific legislation in place on intergovernmental relations although it does have the Local Government Act (Cap 243 of 1997) which assigns specific responsibilities to local government, including the provision of public housing services (Mubangizi, *et al.*, 2013:779).

The Ministry of Local Government is responsible for the guidance and overall vision of the Ugandan government as regards the local governments. This Ministry oversees the government structures and their operations at the local level in order to ensure that these government structures are harmonised and supported to ensure that they bring about socio-economic transformation of the whole country. Political leadership is also the responsibility of this Ministry. The Ministry is composed of the following two directorates, namely, the Directorate for Local Government Administration and the Directorate for Inspection Works. These directorates are responsible for promoting sustainable, efficient and effective service delivery in the decentralised system of governance. Local government is mandated and empowered to: (i) inspect, monitor and, where necessary, offer technical advice/assistance, support, supervision and training to all local governments officials (ii) coordinate and advise local governments in the interests of harmonisation and advocacy (iii) act as a liaison or linkage ministry with respect to the other central government ministries and departments, agencies and private sector, regional and international organisations and (iv) research, analyse, develop and formulate national policies on all taxes, fees, levies and rates for local government. The Ministry of Lands, Housing and Urban Development is responsible for all matters pertaining to lands, housing and urban development. This Ministry is also responsible for housing policy formulation and it initiates laws for sustainable land management.

These laws are aimed at: (a) promoting sustainable housing for all, and (b) fostering orderly urban development in the country. Sustainable land management is supported by the Directorate for Housing Institutions. It is, however, suggested that collaboration modalities in the Government of Uganda (GOU) between national government, local governments and other stakeholders are established in the interests of multi-stakeholders' agreements for local governance and decentralisation (LGD). Such multi-stakeholder platforms for dialogue and communication should ensure that the recently established Decentralised Managed Technical Working Group (DMTWG) has significant input into and oversight of all the GoU's reforms relating to LGD, its (LGD) position and contribution to the Public Sector Management Working Group (PSMWG) and also be well defined. Innovative dialogue in the interests of LGD harmonisation should involve a wide range of key stakeholders such as the Central Government (CG), Local Government (LG), development partners (DPs), political leaders, civil society, the private sector and local leaders. The DMTWG replaced the Decentralised Sector Working Group (DSWG) as a sub-group to public sector management. The Local Development Partners Group (LDPG) is an umbrella group comprising all sector DPs groups and serves as an appropriate channel of communication between the GoU, DPs, local governments and line ministries in order to ensure good quality service delivery and local accountability mechanisms at the local government level.

The Medium-Term Framework provides for the financing frame for: (a) decentralised activities and (b) National and local government expenditure projections over a three year period (Tibamwenda 2009:ii, 2-3 & 8). In short, decentralisation in Uganda promotes centre-local relations by transferring powers from the central or national level to the local government level and confers on the latter a legal mandate for collecting revenues and spending on priorities, including local housing priorities (Makara 2009:31-32). The main objectives of decentralisation in Uganda include: (a) the transfer of real power to local government and reducing the workload of remote, under-resourced central officials, (b) ensuring political and administrative control over services at the point of delivery in order to improve accountability and efficiency, (c) freeing local managers from central

constraints and allowing them to develop organisational structures tailored to local circumstances, (d) improving financial accountability by establishing a clear link between the payment of taxes and the provision of services, (e) improving local council capacities to plan, finance and manage service delivery to their constituents – a total reversal of the centralising tendencies of earlier governments and (f) promoting local economic development.

The achievements of the decentralisation agenda which was implemented include: (a) increased service delivery volumes through local government transfers, (b) development of participatory planning and budgeting methodologies to improve citizen decision-making, leading, in turn, to an increased sense of ownership, (c) enhanced public private partnerships through improved resource pooling and the use of the comparative advantages of each partner, (d) political decentralisation that resulted in regular elections and the development of decision-making processes, (e) fiscal decentralisation which promoted the development of fiscal systems and the devolution of the development budget, (f) development of local governance and anti-corruption strategies to regulate accountability and transparency, (g) decentralisation of accountability to institutions through, for example, auditing, public dialogues and making the local justice administration more affordable and (h) local economic development which seeks to make decentralisation a conduct for development as opposed to cost (Tibamwenda 2009:7-8). If public dialogue is to be made meaningful, it is essential that there is a facilitator who acts as an institutionalised backbone (Bachmann 2014:3). Improving government effectiveness in service delivery is one of Uganda's National Priorities.

In 1996, the Uganda Debt Network (hereafter referred to as UDN) was formed as an advocacy coalition comprising more than one hundred (100) non-government organisation (NGOs). This network developed unprecedented relationships with the government. Since 1999, it had been conducting budget analyses, tracking and performance evaluation at the local and district levels and organising budget consultations between the local

governments and communities. It has expanded its budget monitoring activities from two (2) to seventeen (17) districts in Uganda. This organisation is represented at several levels in the national budget process, including in the finance ministry sector and poverty eradication working groups and is consulted on medium-term expenditure framework (MTEF) issues. However, its biggest challenge is that it has only two (2) or (3) staff members capable of engaging with high-level government budget work. These officials go into the field to collect data about public housing spending and service delivery at the community level. This data adds value to the government budget formulation processes. The UDN has a strong relationship with the Ministry of Finance. This type of network in South Africa would assist in the early detections of the currently built defective houses. Uganda also has instituted a public expenditure tracking system (PETS) which is a participatory assessment tool used to track education spending. However, this system focuses on education only. Before the implementation of this system, the government had been unaware that a fraction of the allocated funds designated for primary schools in the budget was actually reaching the local communities (Heimans 2002:17 & 20).

The Uganda Republican Constitution and Local Government Act (CAP 243) introduced the prevailing local government system which is tasked with the cardinal responsibilities of: (a) ensuring democracy, (b) bringing accountable government to the local communities, (c) ensuring the provision of public services in a sustainable manner, (d) promoting safe and healthy environments and (e) encouraging the participation of communities in matters of local governance. Local government is a multi-layered structure which requires an effective communication system between the local authorities and the communities. It is incumbent on the communities to select representatives in their areas of jurisdiction. The local government structure in Uganda consists of local governments and administration (administration units in district county councils), parishes or wards, villages and cells or zones. Consultation on the budgeting cycle planning processes, especially at the budget conference phase, allows multiple stakeholders such as NGOs, employees and clients to determine the direction of resources required in order to deliver quality services. Local governments are divided into five (5) councils which are: (a) district, (b) municipal, (c)

municipal division, (d) town, and (e) sub-county. A study conducted by Munene, Musenze and Ntayi in 2013 revealed that informal communication: (a) practices complete the formal communication patterns in ensuring quality service delivery by the local governments, (b) patterns ensure harmony as they evolve from social networks and (c) channels coordination processes between employees in organisations. Information flow permits units or departments and individuals to work together harmoniously. This is a critical factor in the delivery of quality services to people because staff members execute their tasks with ease and in coordinated manner (Munene, *et al.*, 2013:414, 416-418 & 421-422).

Political leaders often claim that it is difficult to bring about fiscal adjustments in a decentralised government despite the fact that such fiscal adjustments foster both fiscal discipline and the accountability of the incumbents' spending and revenue decisions (Feld & Schategger 2007:6). However, the involvement of the private sector in decentralisation and in the network governance in Uganda transcends all fields, including the housing fields (Mubangizi, *et al.*, 2013:784-785). Uganda adopted its fourth constitution in 1995 and declared it to be the supreme law of the country. This was the fourth constitution since the country's independence from Britain in 1962 and it established Uganda as a republic with executive, legislative and judicial branches. The Government of Uganda (GOU) is democratic and comprises the following three arms, namely: (a) the executive consisting of the president, vice president, prime minister and cabinet, (b) the legislative – parliament and (c) the judiciary – magistrate courts, high courts, court of appeals (constitution court) and supreme court. This 1995 Constitution provides for the roles and powers of each of the government arms.

2.7 Conclusion

South Africa adopted the democratic, decentralisation governance model in 1994 with the aim of devolving power and transferring responsibilities from the national government to the provincial and local government spheres in order to improve service delivery, including housing service delivery. Local governments are constitutionally mandated to deliver basic services to communities because these local governments are closest to the communities. GEAR, a neoliberal macroeconomic policy, was adopted in 1996. Decentralised countries may be regarded as democratic. Democracy implies a joined-up government that should promote intergovernmental relations in the design and execution of policies as well as the efficient delivery of services, including public housing. Democracy should go hand in hand with good government, transparency and accountability. As already stated, in decentralised countries, the local governments are tasked with the provision of public services to citizens. Powers are transferred to the local governments through devolution, deconcentration, delegation and deregulation. Decentralisation is regarded as a universal solution to the problem of ineffective, centralised bureaucratic structures and the results of failed centralisation. Decentralisation brings the authorities into more direct contact with citizens than would otherwise have been the case. It is incumbent on decentralised countries to address or take into account the most important pending decentralised issues – see section 2.2. The most commonly used, major types of decentralisations by democratic countries include administrative, political and fiscal decentralisation. If service delivery is to be improved, it is essential that the government spheres promote cooperation. Cooperative government in South Africa is conceptualised in the next chapter.

CHAPTER 3

CONCEPTUALISATION OF COOPERATIVE GOVERNMENT IN THE DELIVERY OF ADEQUATE HOUSING IN SOUTH AFRICA

3.1 Introduction

Governments are instruments by which political missions and objectives are achieved (Du Toit in Doyle, *et al.*, 2002:64-65). However, in the main governments tend to: (a) operate on the vertical plane and (b) are structured in terms of a series of departmental hierarchies with little or no incentive to engage in cross-silo cooperation with all stakeholders (Khosrow-Pour 2005:98). As instruments of political missions and objectives, governments are in a position to realise concrete benefits if they form close relationships with civil society (Heimans 2002:21). Cooperative government and intergovernmental relations mechanisms such as consultation, communication, cooperation, coordination and collaboration are critical. It is essential that public managers are heavily involved in all forms of communication, cooperation, coordination, collaboration and consultation with other departments or agents and/or agencies within both public sector and other sectors in order to jointly achieve their own departmental objectives and also contribute to a shared policy as well the meeting of societal needs, including housing needs (Williams 2012:95). It is incumbent on governments to be informed about the interests of their citizens and to pursue these interests efficiently (Jensen 2011:5). In addition, public servants (agents) must serve the state (principal) by implementing public housing policies effectively (Panter & Peters 2010:6). Conceptualisation, network governance, public participation, roles of stakeholders, South Africa Parliament, cooperative government and intergovernmental relations structures and mechanisms are all discussed in this chapter.

3.2. Conceptualisation of government

Concepts: (a) are ways of making sense of the social world, (b) are essential labels which highlight aspects that are significant and common in the social world, (c) assist researchers to reflect on what they want to find out in a more disciplined ways and through organised research findings, (d) are the starting point of researchers in that they represent key areas in respect of which data is collected, and (e) assist researchers to reflect upon and organise the data that they have collected (Bryman 2012:8-9). The functions of concepts include: (a) the facilitation of communication between human beings, (b) providing assistance in the classification of the elements of reality, (c) enabling generalisations about the reality of elements, and (d) serving as the building blocks of theories (Bless, *et al.*, 2013:80). As a concept, government consists of governmental institutions that make policy decisions for society, including public housing policy decisions (Edwards, *et al.*, Lineberry & Wattenberg 2012:9).

These policy decisions are then operationalised. Operationalising the concepts, potential strategies and techniques used for measuring the effectiveness of the concept should be taken into account when the concept itself is defined while the concept which has been defined should also be theoretically sounded. Governing is an unending process (Rose in Bernhagen, *et al.*, 2009:19 & 25). The aim of government is to achieve pre-determined outcomes which, in most instances, are politically motivated or oriented (Leyshow & Moir 2013:1007). Political missions and objectives are manifested in constitutions which present the fundamental principles of a government and also establish the basic structures and procedures by means of which the government operates in fulfilling both written and unwritten principles (Deardorff 2013:35). Thus, a constitution may be said to be a nation's basic law that creates government institutions, allocates power within government and often provides guarantees to citizens (Edwards, *et al.*, 2012:35). South Africa adopted the Constitution of the Republic of South Africa in 1996. Section 2 of the Constitution of the Republic of South Africa, 1996, declares it (the Constitution of 1996) to be the supreme

law of the Republic of South Africa and also stipulating that the obligations imposed by it must be fulfilled (South Africa. Constitution, 1996). However, the South African government is faced with distortions in policy formulation by: (a) an over reliance on foreign models, (b) a failure to truly develop contextual policies and (c) a failure to interpret policies in such a way that they fulfil constitutional obligations and meet the needs of citizens (Franks 2014:48 & 50). Franks (2014:48 & 50) is of the view that, although the three spheres of government are independent and interdependent, it is difficult for the central government to control the functions relating to the execution of the constitutional obligations by the other government spheres. Regardless of this difficulty, the Constitution places an obligation on the state to provide access to adequate housing for its citizens. Section 26(1) of the Constitution of the Republic of South Africa, 1996, mandates the National Department of Human Settlements (NDHS) to act as the custodian of the housing sector and to develop housing strategies, policies and programmes to ensure the progressive realisation of the provision of housing to all citizens (South Africa. Parliament of the Republic of South Africa 2014c:1). According to the Organisation for Economic Cooperation and Development (2010:169), the government must: (a) develop coordination mechanisms between the various spheres of government and also across the same spheres, (b) allocate or share regulatory responsibilities at the various spheres and (c) capacitate the different spheres to produce quality regulation (regulatory governance/regulatory public policies) in order to improve housing service delivery. Coordination is further discussed in section 3.5.4. It should be noted that coordination does not take place in a vacuum but within government institutions.

The South African hierarchy of government institutions is as follows: (1) National government which consists of the: (a) legislature composed of Parliament and comprising houses, i.e. the National Assembly (NA) and the National Council of Provinces (NCOP), (b) executive made of the President, cabinet and national departments as the extension of the executive and (c) judiciary comprising the Constitutional Court, Supreme Court of Appeal, High Courts, magistrate courts and other courts and (2) Provincial governments which consist of a: (a) legislature comprising thirty (30) to eighty (80) members, (b)

executive made up of the Premier and executive council of between five (5) and ten (10) members and (c) local government which consists of metropolitan, district and local municipalities (Du Toit in Doyle, *et al.*, 2002:63). Cabinet is provided by section 91(1) of the Constitution of the Republic of South Africa, 1996. The cabinet consists of the President, Deputy President and ministers (Du Toit in Doyle, *et al.*, 2002:71). In each government sphere, there are structures which are responsible for, inter alia, consultation, communication, cooperation, coordination and collaboration in order to promote both cooperative government and intergovernmental relations – see sections 1.1 and 1.2. Van Niekerk in Doyle, *et al.*, (2002:264-265) is of the view that e-government represents a permanent government commitment which may be used to improve the relationship between the citizens, private sector and the public sector government institutions in order to enhance cost-effective services, information, knowledge and promote cooperative government.

The vision of e-government is to: (a) facilitate a modern and efficient government through continuous optimisation aligned to digital economy developments, (b) meet the needs of citizens and stakeholders through participation and effective service delivery and (c) improve citizen access to government information services and ensure that citizens participate in the governing processes in order to enhance the meeting of the citizens' service needs. The principles of e-government include: (a) building services around the citizens' choices, (b) making government and its services more accessible, (c) social inclusion, (d) providing information in a responsible way and (e) using information technology (IT) and human resources effectively and efficiently. This is affirmed by Nzimakwe (2012:56) who states that e-government: (a) enhances public service delivery if it is accessible, (b) offers governments opportunities to interact with citizens, (c) changes the way in which government institutions and organisations are structured, (d) provides citizens with access to, among other things, government documents, order publications, file taxes and records. Seward and Zambrano (2013:8) are of the view that e-government is helpful in tackling issues related to: (a) cost, (b) efficiency, (c) effectiveness, (d) transparency, (e) improved service delivery, (f) greater participation by all stakeholders

and (g) offering innovative solutions to public institutions and private sector actors. However, e-government is discussed for the purposes of knowledge building only in this study and it is not strongly recommended for full implementation by the Bushbuckridge Local Municipality as the case study. The reason for this is that the majority of the citizens, including some government officials, who fall within the jurisdiction of the Bushbuckridge Local Municipality do not have access to either internet or to other information and communication technologies (ICTs) tools. For example, five (5) ward councillors who were interviewed at their offices did not have computers. Nevertheless, numerous scholars, including Mubangizi, *et al.*, (2013:783), regard network governance as an effective mechanism that may be used to address complex issues in a decentralised administration. The conceptual framework of decentralised powers in South Africa is presented in Figure 3.1 while network governance is discussed below the figure.

Conceptual framework of decentralised powers in South Africa

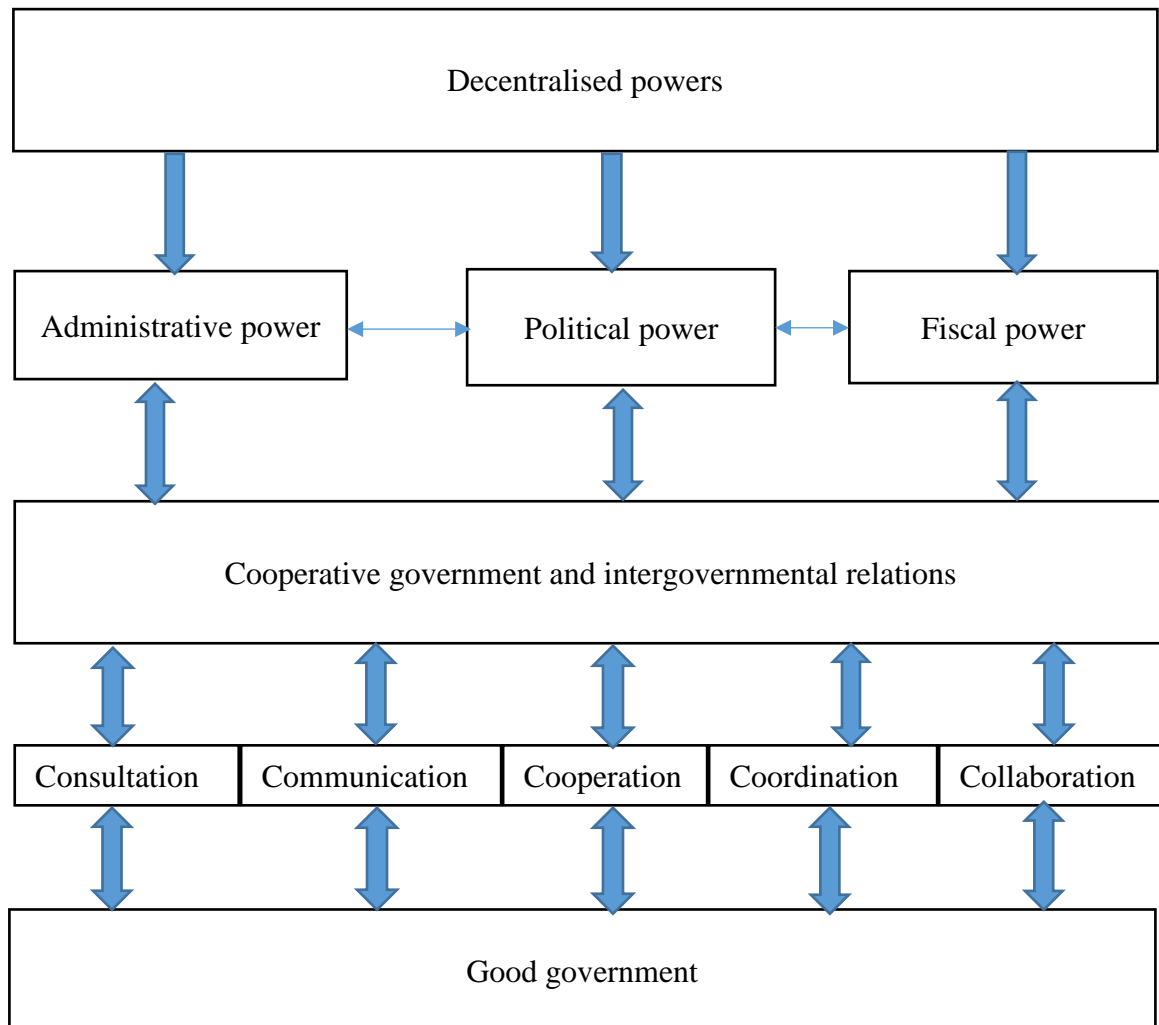


Figure 3.1: The conceptual framework of decentralised powers in South Africa

Source: Compiled by the researcher, 2016

3.2.1 Network governance

The provision of public resources is a distinct network management strategy despite the fact that governance networks often experience points of conflict as a result of real and

substantive differences of opinions and perspectives. Nevertheless, despite experienced conflicts, if any, it is essential that network relationships be established between the institutions within a single branch of government in order to create the basis for cooperative government and intragovernmental relations (Koliba in Meek & Thurmaier 2012:73 & 76-78). In delivering public services, all the role players should strive to achieve the service delivery objectives through the: (a) sharing of leadership skills, (b) facilitation of service delivery activities and (c) capacity building combined with organisational and management development (Mubangizi, *et al.*, 2013:792). Dikotla, Mahlatjie and Makgahlela (2014:848-849) maintain that an effective knowledge management would encourage the sharing of knowledge and information. If information is shared between employees, departments and even with other organisations in an effort to devise best practices, service delivery may be improved as a result of the innovation, effectiveness, efficiency and growth which arise from the sharing of knowledge.

According to Koliba, *et al.*, (2011:109), the aims of social networks include collaborative partnerships, coalitions and strategic alliances while compliance in collaborative relationships is created through trust. It should be noted that the social world comprises interactions and relationships between multiple actors and that this constitutes social networks. Social network analysis entails: (a) a set of techniques for handling, analysing and visualising relational data (data concerning relations between a set of social actors and entities) and (b) a structural method that examines the pattern of the connections between entities (Crossley in Dale & Mason 2011:75). A network is a way of governing which: (a) influences cooperation and interrelationships within government spheres and between government stakeholders and (b) in the context of housing delivery, promotes collaboration because it assists in providing an integrated housing development style of planning (Gibbens 2008:44-45). Collaboration is discussed in section 3.5.5.

Network processes assist in formalising means or ways in which to maintain links between stakeholders and promoting mutual trust and may involve simultaneous actions by a

number of different actors. This should result in fully integrated systems in which the network members realise that their perspectives are holistic despite the fact that they represent their individual organisations. This is affirmed by Mubangizi, *et al.*, (2013:781 & 787-788) who state that network governance may be correlated with an attempt to take into account the increasing importance of non-governmental organisations (NGOs), the private sector, scientific networks and international institutions in the performance of various government functions. Mubangizi, *et al.*, (2013:781 & 787-788) are also of the view that governance networks provide an innovative environment for learning, thus paving the way for adaptive and effective governance by integrating actors from various sectors. By so doing, several contemporary policy problems may be effectively and legitimately dealt with through the: (a) network coordination of resources, (b) skills and strategies across public sector institutions, (c) formal organisations and (d) policy sectors. If network processes are to be successful, issues such as: (a) administration and management, (b) leadership, (c) good relations, (d) communication and (e) capacity are extremely important. Good cooperative leadership at all government spheres is essential for the effective implementation of programmes, including housing programmes. Cooperation is discussed in section 3.5.3.

Inter-ministerial networks are an important governing tool in ensuring that public resources such as housing are accessible to all citizens (Bevir 2011:3). Ministerial clusters are discussed in section 3.4.4. It is imperative that national governments play a central facilitation in network cooperation and coordination in order to improve service delivery (Mubangizi, *et al.*, 2013:788). In South Africa, ministers serve in the national government sphere as the heads of national departments. For consultation, communication, cooperation, coordination and collaboration and inter-ministerial networks purposes, ministerial clusters are selected. These ministerial clusters are also expected to promote sound relationships between all stakeholders – see section 3.4.4. The quality of these relationships is important because, when the participants communicate and interact effectively, good relations are promoted and this enhances cooperative government and good relationships, team spirit and performance. The benefits of network governance

include opportunities for capacity building, skill transfers and knowledge exchange between the various role players and this improves service delivery (Mubangizi, *et al.*, 2013:790-791). Networks in social sciences provide appropriate institutional designs which cater for the good governance and collaborative relationships created through trust. Trust is regarded as a key element in: (a) reaching a consensus on collective actions, (b) reducing gaps between good intentions and cooperative practices, (c) enabling cooperation and (d) facilitating the participation of actors in the decision-making processes and with a willingness to resolve conflicts (Lee & Yu 2013:86). According to Van der Waldt in Burger, Knipe, Nell, Van der Waldt & Van Niekerk (2002:126), a lack of trust between project teams also hampers any possible change in institutions. The reason for this is because trust is a belief which encapsulates the essential components of commitment, honesty and not taking advantage of another (Williams 2012:48).

Among other things, the success of any government depends on trust because trust is anchored in perceptions of: (a) integrity, (b) inclusion, (c) fairness, (d) competence, (e) reciprocity and (f) reliability, all of which play a role in fostering excellent working relationships (Newell, Reeher & Ronayne 2012:1 & 13). In addition to trust, accountability also constitutes an important element in the relationship-building in governance networks. Accountability helps to alleviate the silo-approach to executing government tasks and, particularly, when budgets are allocated for the funding of programmes activities including housing (Khosrow-Pour 2005:98). The participants in government networks are accountable to each other because they are jointly responsible for the functioning and results of their networking activities. In addition, interaction and trust-building over a period of time create the sound intergovernmental and network relations that benefit all parties. In South Africa, the delivery of public services is one of the important roles of Parliament because the members of parliament represent the citizens who have elected them and should act as their voices (Madue 2014:860-861). The cooperative government and intergovernmental relations structures which have been established should also assist in this regard. The composition of the South African Parliament is discussed in section 3.3.

3.2.2 Public participation as a democratic right of expressing views

State intervention in decisions on the design and sizes of housing units is contrary to the freedom of choice which housing beneficiaries should enjoy if their housing needs are to be met (Ndinda, *et al.*, 2011:765). Communities are often surprised during the implementation of activities that bear little or no relation to the decisions they sought through their public participation in the service delivery planning processes (Ramonyai, Segage & Tsheola 2014:396). It is this way that the rights of some citizens in democratic countries may be infringed. According to Newell in Newell, *et al.*, (2012:33), it is essential that citizens are included in the decision-making processes that impact on their lives while public leaders must be able to solve the public problems facing the citizens. Service delivery planning should entail both public decision-making processes as well as the management of change in order to ensure the effective delivery of services, including water, electricity, roads and housing (Ramonyai, *et al.*, 2014:396). The results revealed that the beneficiaries of the housing project under study had been involved from the planning to the allocation phases – see section 5.4.4. It is only through the constant watchfulness and criticism of public officials by citizens that a state will retain its integrity and usefulness.

All adults should be free to: (a) air their views by joining political groups, (b) engage in open discussions about the way in which the country ought to be governed and (c) protest by writing to politicians or taking part in demonstrations. Public refers to the community as a whole (Rogers 2012:60 & 77) while the public sphere is the sphere in which issues and opinions are: (a) taken up (input), (b) aggregated and structured into public opinion (throughput) and (c) then passed on to the political system (output) (Adolphsen 2012:30). Participation in the politics of their country is both an obligation and a right of the citizens of that country (Rose in Bernhagen, *et al.*, 2009:12). Political participation encompasses all the activities by which citizens attempt to influence the selection of political leaders and the policies they pursue (Edwards, *et al.*, 2012:11).

Political participation: (a) implies activities on the part of citizens which are aimed at influencing government structures, selection of government officials or policies, (b) may be pursued via voting stations or through public protests or demonstrations and (c) embraces both conventional and unconventional forms of political participation. Conventional political participation entails behaviours that are acceptable to the dominant cultures in a given situation and should be routine behaviour that uses the established institutions of representative government effectively and for the benefit of all citizens. On the other hand, unconventional political participation is relatively uncommon behaviour that challenges or defies the established institutions and dominant cultures and it is stressful to both the political participants and their opponents (Berry, *et al.*, 2012:209). Effective participation implies that all citizens enjoy equal opportunities to express their preferences or views throughout the process of binding decision making (Rose in Bernhagen, *et al.*, 2009:12 & 27). These preferences or views which are expressed by the citizens are important to policy makers because these preferences or views may be used to formulate specific policy development guidelines that are aimed at addressing a particular public issue (Deardorff 2013:193).

Civil or public servants are responsible for implementing government policies and serve as the main administrative tools of government in that they carry out government functions in the rendering of public services to communities. If there is to be effective adherence to democratic principles by democratic governments, it is important that civil servant systems be promoted. A civil servant system: (a) is a necessary tool that is used as a means of carrying out the mission of the state and the government, (b) is an important mechanism in the implementation of policy objectives and values and (c) plays a critical role in government and occupies a vital position as regards the functionality of the state and government (Tobin & Xiaoyun 2009:53-54). Du Toit in Doyle, *et al.*, (2002:65-66) maintains that governance development should be the result of public administration and management activities. Governance development is what communities and their representatives want and it also brings changes in social, economic, political, physical and cultural conditions. However, Tobin and Xiaoyun (2009:54) are of the view that the

development and implementation of many regulations and policies are dependent on civil service groups.

Civil servants play an important role in government affairs and, thus, their quality and also their capacity to meet the demands of their jobs directly determine the efficiency and effectiveness of the government's performance. Governance development activities are executed through the public administration. As a field of practice, public administration is concerned with the implementation of government policies so as to enable the government of the day to function effectively and efficiently (Hanyane 2011:26). Public functioning in the South African context implies that activities are performed by the national, provincial and local government spheres in order to meet the community needs which have been identified (Robson 2006:1). It should be noted that case research is popular tool in public administration research approaches. For the purposes of this study the researcher, as a public administration student, used the Bushbuckridge Local Municipality as the case for this study. A case assists researchers to contribute to the existing knowledge base of a discipline (McNabb 2010:91). Municipalities are organs of state, as defined in sections 1.10.13 & 1.10.14 respectively, within the local government spheres, have both legislative and executive authorities as well as democratically elected representative leadership.

However, Ramonyai, *et al.*, (2014:398) are of the view that the violent public protests witnessed in South Africa would seem to suggest that municipalities are still not yet adequately equipped for the planning processes as provided for by the legislative structures and, as a result, they are forced to rely on outsourcing housing to the private sector. The study results revealed a severe shortage of housing staff in the BLM (see section 6.3.1) while the housing project under study had been implemented by a housing service provider contracted by the MPDHS (as discussed in section 5.4.2). Common challenges faced by the low-income housing sector include: (a) poor designs, (b) use of substandard bricks or uncertified construction methods and (c) leaking pipes, roofs, drains, toilets and water pipes (Emuze, *et al.*, (2012:22-23). As discussed in section 5.4.5, the study results also

revealed some of these housing defects. However, Lartery and Satry (2010:3) maintain that democratic countries could use civil society organisations (hereafter referred to as CSOs) to promote public participation in order to meet their housing challenges as CSOs could play an important role in shaping both national policies and service delivery. CSOs could represent a proactive force in bringing about change. It must be borne in mind that change does not happen in a vacuum and civil participation could bring about opportunities for change.

However, the state must be responsive to community needs if effective citizen engagement in this regard is to be promoted (Blundo in Petric 2012:25). Three of the functions of CSOs include: (a) providing services particularly in crisis situations and where governments are unwilling or unable to fulfil their obligation to provide services to citizens, (b) advocating human or social rights by working and monitoring the operations of the government and holding government at all levels accountable for its actions and for the fulfilling its commitments and (c) supporting social processes at the local level. Countries which lack capacity could rely on CSOs to promote public participation (United Nations Development Programme 2012:4-5). CSOs may act as intermediaries between citizens and government at all levels while, at the local level, CSOs may conduct a community needs assessments to collect information about citizen demands and then convey these demands to the budget-making authorities with the aim of providing assistance in organising consultation meetings between the members of community and municipalities. At the higher levels of government, CSOs are more likely to advocate on behalf of the poor, for example, by ensuring that a national budget is sufficiently focused on poverty reduction and adequate housing. Participation by the poor or by those who represent the poor in the budget-making process aims to ensure that the contents of budgets reflect nationally agreed upon objectives relating to adequate housing accessibility, poverty reduction and social equity (Heimans 2002:6 & 8).

Municipalities are required to work together with citizens through public participation forums or platforms in order to identify sustainable ways in which to meet the social, economic and material needs of the local communities so as to improve the quality of their lives. Communities are the true beneficiaries of housing developments (Mayekiso, Nondumiso & Taylor 2013:186-187). As revealed by the study results (section 5.4.4) public participation at the ward level was promoted. Objectives such as accessibility to adequate housing are achieved through the budgets allocated and, thus, as explained in section 2.5.3, it is important for the public to be involved in the budget allocation processes through participatory budgeting. In the majority of democratic countries, the three main stakeholders involved in participatory budgeting (PB) are the legislatures, government and CSOs. Participatory budgeting may provide governments with valuable information flows about the misuse of public expenditures at a local level and the quality of the services rendered to citizens (Heimans 2002:2 & 21). The study revealed that the BLM did not have a local government budget forum which could have been used to promote participatory budgeting – see section 5.4.2.

Legislatures have a critical role to play during all stages of the participatory budget processes. Viso in Obregon, Turfte and Wilkins (2014:259) advises civil servants to note that any denial of the right to participation for citizens that are affected by huge inequalities in terms of access to resources such as housing, power and the decision-making processes may develop into violent conflicts and any of the change processes required to facilitate an integral, participating and inclusive development may be met with resistance. According to Gibbens (2008:94), conflict resolutions emanating from public participation assist groups to: (a) resolve differences, (b) reach trade-offs and (c) attain consensus amicably. Conflict: (a) originates from economic inequality, political organisation and cultural systems, (b) in socio-political situations, reveal the existence of social problems, and (c) is an element of human relations and represents both stimulus and an opportunity for social change (Viso in Obregon, *et al.*, 2014:261). Section 72 of the Local Government: Municipal Systems Act (117 of 1998) encourages participatory democracy and outlines the role of ward committees in enhancing participation during the budgetary processes.

The study revealed that, in the BLM, the ward committee of ward 31 used quarterly meetings and door-to-door campaigns to encourage public participation. Ward committees are discussed in section 3.4.9. Executive committees are expected to consult with citizens and inform Parliament on the outcomes of the budget decisions made by the councils.

The Local Government: Municipal Systems Act (32 2000) provides for citizen participation to promote the development and the implementation of IDPs (Matsiliza 2012:448). Any lack of responsibility and accountability on the part of the municipal councillors is a problem. Some politicians and municipal councillors are not as committed as they should be. They do not devote their time fully to their oversight role by visiting sites during the implementation of projects. However, it is worth noting that in addition to performance monitoring and evaluation, one of the functions of the Portfolio Committee on Public Service and Administration is to promote public participation and engage citizens regularly with the aim of: (a) strengthening service delivery and (b) overseeing and reviewing all matters of public interest relating to the public sector (South Africa. Parliament of the Republic of South Africa 2013:1). In addition, Parliament requires the Portfolio Committee on Human Settlements to brief all stakeholders on the implementation of the municipal accreditation frameworks (MAFs) in respect of human settlements and identify relevant challenges (South Africa. Parliament of the Republic of South Africa 2014c:9). The Portfolio Committee on Human Settlements is discussed further in section 3.3.1.

The resolutions of the Istanbul Declaration on Human Settlements held in Turkey in 1996, as a reaffirmation of the Habitat Agenda agreed separately at the Habitat 11 Conference included: (a) the active participation of the public, private and non-governmental partners at all levels to ensure legal security of tenure, protection from discrimination and equal access to affordable, adequate housing for all citizens who are unable to provide adequate housing for themselves and their families, (b) expanding the supply of affordable housing by enabling markets to perform efficiently, socially and in a manner that it is

environmentally sustainable and (c) enhancing access to land and credit and assisting those who are unable to participate in housing markets (South Africa. Parliament of the Republic of South Africa 2014d:6). It is extremely important to garner and then maintain support before and during the execution of, inter alia, housing project activities because both the inputs and outcomes from any project are dependent on the various stakeholders and role players (Van der Waldt in Burger *et al.* 2002:126). The roles of stakeholders are discussed below.

3.2.2.1 Roles of stakeholders in execution of government functions

Governments outsource goods and services from external service providers with the aim of: (a) delivering cost-effective services, (b) meeting public demand and (c) indirectly creating employment opportunities in the non-government sector (Organisation for Economic Cooperation and Development 2011:168). The South African government is no exception in that it purchases the goods and services it requires from external suppliers (service providers) through tendering processes (Mulder in Cook, Du Plessis & Van Heerden 2010:157). The delivery of public services such as housing is one of the important roles of Parliament because the members of parliament represent the citizens who elected them and, thus, the members of parliament should be the voices of their constituents (Madue 2014:860-861). The Rural Human Infrastructure Grant (RHIG) is regarded as one of the stakeholder engagement tools which is aimed at facilitating community involvement through: (a) the creation of employment, (b) the maintenance of facilities and (c) the cost effectiveness and sustainability of facilities (South Africa. Parliament of the Republic of South Africa 2014c:8). The Portfolio Committee on Public Service and Administration as well as Performance, Monitoring and Evaluation comprises members of Parliament (MPs) who are expected to compile stakeholder engagement or public participation reports and present these participation reports to Parliament. These reports may be regarded as feedback reports because they are specifically compiled to provide information on events, including housing events, which have already taken place (Erasmus-Kritzinger in

Erasmus-Kritzinger, Mona & Swart 2013:301). Stakeholders have: (a) the ability to influence those who control resources, including public resources, (b) access to those people who rely on these resources (public resources), (c) potential to influence decision-making processes and (d) ability to raise the strategic management issues of organisations to resource controllers (Gomes 2004:47-48).

Stakeholder representatives must be selected to assist with the consultation, information dissemination and feedback activities in relation to large numbers of stakeholders (International Finance Corporation 2007:20). Some of the positive roles played by stakeholders include: (a) cooperation on operations or activities, in particular, in housing policy development processes, (b) creation of user-friendly communication channels for communities, (c) rendering services to the targeted beneficiaries, (d) bridging of cultural gaps, (e) improvement of two-way communication which is enhanced on both sides, (f) reduction of costs (g) improvement of conflict issues of emerging communities, (h) improvements in the effectiveness and efficiency of institutions, (i) high quality policy inputs, and (j) development of a culture of innovation and learning (Metcalf 2008:7). Empowerment is crucial for all the stakeholders at all levels of society to ensure greater interconnectedness and involvement in the service delivery processes (Van de Fliert in Obregon, *et al.*, 2014:131). It is essential that all the stakeholders and role players are involved and provided with opportunities to participate in the housing project management processes in order to ensure total commitment to the project objectives (Knipe in Doyle, *et al.*, 2002:236). Although the different stakeholders set different objectives, the allocation of functions is based on a shared understanding, agreement and options between all stakeholders in order to ensure that the housing projects are implemented effectively (Van de Fliert in Obregon *et al.* 2014:126). The adoption of the New Public Management (NPM) model results in the improvement involvement of stakeholders in service delivery as well as effective and efficient improve service delivery (Mubangizi, *et al.*, 2013:779). Louw (2012:93) is of the view that the adoption of the NPM in South Africa entailed the privatisation of services, including societal services. Bevir (2011:8) maintains that public sector reforms have given rise to a host of new designs and practices produced by public-

private partnerships (PPPs) and which have triggered questions about the relationship between state and society.

Several public service managers have begun to develop dual, but highly connected, roles in order to partner with civil-society organisations as well as public, private and other sectors. These dual roles are intra-organisational management and connected roles which involve forms of collaborative management with a variety of other actors from different sectors, professions and organisations (Williams 2012:95). In view of the above, the NPM, PPPs and outsourcing all justify the need for effective stakeholder engagements and collaborations. The Collective Leadership Institute (2015:1) regards stakeholder collaboration as a critical way of finding solutions to the complex challenges of sustainable development. It is imperative that key stakeholders (stakeholders with significant influence over or impacted upon by any development initiative, project, programme or activity under discussion) must be identified early to avoid conflicts (Metcalf 2008:3). Swart in Erasmus-Kritzinger, *et al.*, (2013:367) defines a conflict as a disagreement in terms of the needs, objectives, values, interests and perceptions within individuals or between two or more people where these needs, objectives, values, interests and perceptions clash and no individual or group wins. Thus, effective communication may assist in such instances because it is one of the major functions of every institution (Cook, *et al.*, 2010:1). This is affirmed by Borchers and Grant (2011:3 & 5) who state that it is not possible for institutions to operate alone. They need to consult, communicate, cooperate, coordinate and collaborate with both their internal and their external stakeholders. Internal stakeholders comprise those individuals who make up the institution (e.g. employees) while external stakeholders are those people who interact with an institution (citizens, civil service organisations, suppliers) (Griseri & Seppala 2010:27; Strydom 2012:22). Every institution requires a sound and effective communication system in order to function properly, achieve its set objectives and satisfy all its stakeholders' needs (Erasmus-Kritzinger, Marx & Van Staden 2011:10).

3.3 Composition of the South African Parliament

In South Africa, democratic governance entails delivering a better life for all. This requires the legislators (politicians elected by the voters) to execute oversight over the legislative functions in order to guarantee that the government and state institutions perform effectively in their rendering of services to the citizens. In addition, the legislators should hold the executive accountable in order to ensure that its performance is consistent with the approved plans and budgets. However, the legislature often relies on second-guessing instead of exercising its oversight functions, while the executive often resorts to finger-pointing instead of being answerable to the questions directed to them in the legislative sittings. This is often the result of political interests. The legislatures work primarily through portfolios as well as standing and ad hoc committees which serve as platforms that members use for posing questions to the executive (Madue 2014: 860-861 & 868). The Parliament Monitoring Group (hereafter referred to as PMG) is responsible for monitoring the South African Parliamentary Committees (Van Niekerk in Doyle, *et al.*, 2002:286).

Parliamentary committees are appropriate mechanisms through which Parliament may conduct oversight over any state organ. These committees may interact with civil society organisations, organised business, experts and professional bodies to enhance accountability. The roles of parliamentary committees include: (a) considering bills, (b) dealing with departmental budget votes, (c) overseeing the performance of departments, requesting information on budgets and making recommendations about any facet of the department in question including its structure, policies and functioning and (d) investigating any matter of public interest falling within their area of responsibilities. A parliamentary committee may call ministers and departmental heads to account on any issue relating to any matter for which they are accountability in terms of the provisions of sections 56 (evidence or information before the National Assembly) and 59 (public access to and involvement in the National Assembly) of the Constitution and of any piece legislation. The work of these committees includes, inter alia, (a) study tours entailing

physical inspections, (b) conversing with citizens and assessing the impact of service delivery, and (c) compiling reports which contain recommendations to be considered for adoption by the two houses of parliament (South Africa. Parliament of the Republic of South Africa 2014d:11). One such committee is the Portfolio Committee on Human Settlements which is tasked with the human settlements oversight function – see discussion in the next section.

Section 42 of the Constitution of the Republic of South Africa, 1996, provides for the composition of Parliament such that Parliament plays a facilitating, cooperative government by working with the other arms of government. Parliament consists of two houses, namely, the National Assembly (NA) and the National Council of Provinces (NCOP) (South Africa. Constitution, 1996). These two houses conduct their work-plenary sessions during which the members of both houses meet as one group and in committees (smaller groups of members). Section 42(3) of the Constitution of the Republic of South Africa, 1996 mandates the National Assembly to represent the people and to ensure government by the people because Parliament is the direct representative of the people (Heimans 2002:29). Section 42(4) of the Constitution mandates the NCOP to ensure that provincial interests are taken into account in the national sphere of government by participating in the national legislative processes and providing a national forum for the public consideration of issues affecting the provinces. Edwards (2008:71) regards the NCOP as the Parliamentary chamber and a key cooperative government and intergovernmental relations forum that coordinates and oversees that provincial interests are taken into account by the national government as well as participating in the legislative processes. Sections 43(b) and 104(1) of the Constitution provide for the legislative authority of the provincial sphere of government which is vested in the provincial legislatures (South Africa. Constitution, 1996).

3.3.1 Portfolio Committee on Human Settlements

One of the core functions of Parliamentary Portfolio Committees is to carry out an oversight function over state organs (Tsoai 2014:3). Each committee is responsible for specific departments. Portfolio Committees are expected to use the monitoring and evaluation information compiled by the Department of Planning, Monitoring and Evaluation (hereafter referred to as DPME) to strengthen their oversight activities in respect of the executive (The Presidency 2014:3). The Portfolio Committee on Human Settlements should brief all stakeholders on the implementation of the municipality accreditation frameworks (MAFs) in respect of human settlements and identify relevant challenges. This committee is also tasked with ensuring that the objectives of outcome 8 of the NDP are achieved. The study results revealed that the houses built at Thulamahashe C (ward 31) have defects – see discussion in section 5.4.5. The Portfolio Committee on Human Settlements) consists of members belonging to the National Assembly (NA) (South Africa. Parliament of the Republic of South Africa 2014d:1).

3.4 Critical structures of cooperative government and intergovernmental relations

Cooperative government and intergovernmental relations structures have been established in the three government spheres to enhance and improve services, including housing services. Some of these structures are discussed below.

3.4.1 Intergovernmental forum (IGF)

Section 9(1) of the Intergovernmental Relations Framework Act (13 of 2005) mandates any cabinet member to establish a national intergovernmental forum which may promote and facilitate intergovernmental relations in the functional area for which that cabinet member is responsible. For example, the Minister of the National Department of Human Settlements (as a cabinet member) may establish a human settlement (functional area) intergovernmental relations forum to deal specifically with human settlements challenges within the three government spheres. Before the implementation of this Act, any existing housing MinMEC was deemed to have been established in order to promote and facilitate intergovernmental relations in the area of human settlements, as provided for by section 9(2) of this Act. Section 10(1) of this Act provides for the composition of the national intergovernmental forums. These forums consist of the Cabinet member (e.g. Minister of the NDHS) for the functional area (housing) of the established forum who is also the chairperson, Deputy Minister of NDHS, MECs responsible for similar function (Provincial Departments of Human Settlements), municipal councillor appointed by the national organisation representing organised local government and responsible for human settlements developments and any person who is appointed by the chairperson (e.g. Minister of the NDHS).

Section 11 of the Intergovernmental Relations Framework Act (13 of 2005) provides for the roles of these forums which include serving as consultative forums to: (a) raise any provincial and local government issues in relation to the functional area (housing), (b) consult provincial and, if appropriate, organised local government on: (i) the development of national housing policies and legislations, (ii) the implementation of such national housing policies and legislations, (iii) the coordination and alignment of housing strategic and performance plans, (iv) housing priorities and objectives strategies of the three government spheres and (v) any other strategic housing matter that affects another government sphere and (c) discuss performances in relation to the provision of housing

services in order to detect failures and initiate preventive or corrective action when necessary. Section 12(1) of the Intergovernmental Relations Framework Act (13 of 2005) requires the forum established, if any, to report to the PCC on any matter delegated to the forum by the council while section 12(2) mandates the chairperson of the forum established to refer any matter to the PCC but in consultation with the President. Section 14 of the Intergovernmental Relations Framework Act (13 of 2005) requires the relevant Cabinet member to convene meetings, determine agenda items, receive agenda suggestions and provide administrative and support services to the forum. The intergovernmental forum (hereafter referred to as IGF) was replaced by the PCC to enhance the constitutional principle of cooperative government and intergovernmental relations and to provide for direct interaction between the President, provincial premiers and the Minister of CoGTA (Senoamadi 2014:57).

The IGF was established to promote intergovernmental consultative processes which include: (a) integration and coordination of intergovernmental policies, and (b) addressing multi-sectoral policy issues and (c) dealing with sensitive issues. This forum consists of the President, Deputy President, provincial premiers, ministers, deputy ministers, Members of the Executive Council (MECs), Directors-General of both national and provincial government spheres and several other members. In view of the fact that the forum serves as a briefing session for government and an effective forum for ministers, DGs, MECs and the three government spheres, it may be regarded as a network forum that promotes good government. It is extremely well placed to plan and coordinate the activities of the three government spheres (Levy & Tapscott 2001:86-87). According to Powell in Levy and Tapscott (2001:255), governmental relations in the South African context imply the: (a) distribution of powers and functions between the three government spheres as provided for by the Constitution of the Republic of South Africa, 1996, (b) institutional machinery used by the three government spheres to interact and coordinate their distinctive powers and functions and (c) provision of space for the three government spheres to practice cooperation, coordination and the settlement of disputes. This forum is a formal body with no legal basis and was created to provide opportunities for consultation and joint

decision-making processes between ministers and premiers in all matters of mutual interest (Kahn, *et al.*, 2011:78). However, the government institutions are not obliged to implement the jointly made decisions of the forum despite an outcry by The Presidency (2012:26) that the coordination across government departments is extremely problematic.

3.4.2 President's Coordinating Council (PCC)

The main reasons for the service delivery protests which have taken place in all the provinces include the slow pace of housing service delivery as well as allegations of corruption among municipal officials. The latter is the main reason why, in most instances, municipalities have been targeted by service delivery protesters and demonstrators (Department of Government Communication and Information Systems 2012:1). The Office of the Presidency established the President's Coordinating Council (PCC) in 2005 with the aim of improving service delivery, including housing service delivery. Thus, service delivery is a top priority of this council. On 24 April 2012, President Jacob Zuma informed the National Council of Provinces (NCOP) that the improvement of service delivery is a top priority of the President's Coordinating Council. In addition, the President's Coordinating Council is a key platform where the three spheres of government may learn from their successes and challenges by using their representative forums (Department of Government Communication and Information Systems 2012:4). The President's Coordinating Council was established in terms of the Intergovernmental Relations Framework Act of 2005 (Act 13 of 2005). Section 6(1)(a)–(h) of this Act stipulates the composition of the President's Coordinating Council, while section 7(c) states that the President's Coordinating Council should discuss the performance of provinces and municipalities in the provision of services in order to detect failures and to initiate preventative or corrective action when necessary.

The main aim of the President's Coordinating Council (PCC) is to assist the premiers to fulfil their constitutional responsibilities which include: (a) the development of provincial policies, (b) preparing and initiating legislation for their provinces and (c) implementing national legislation within the listed areas of schedules 4 & 5 of the Constitution of the Republic of South Africa, 1996 (Kahn, *et al.*, 2011:75). The PCC emphasises the central role of the premiers, MECs for local government, SALGA and the mayors in ensuring the success of projects, including housing projects. The PCC is composed of the President, nine provincial premiers, chairperson of SALGA, municipal councillor, national ministers responsible for cross-cutting functions (provincial and local government affairs), public service and administration and finance. Other ministers may be invited to participate. The council is chaired by the President or the Deputy President in the absence of the President (Pillay in McLennan & Munslow 2009:139). The forum is regarded as the national-provincial forum at the highest executive level.

3.4.3 Ministers and members of the Executive Councils (MinMECs)

The Ministers and Members of the Executive Councils (hereafter referred to as MinMECs) play an extremely important role in providing opportunities for the provincial governments to share their challenges and achievements and interact with the national ministers. The major aims of the MinMECs include the: (a) improvement of coordination of activities within all spheres of government and (b) alignment and coordination of activities within specific sectors. Each MinMEC focuses on a specific field such as human settlements, education, health, welfare, agriculture or the development of local government and enables the Provincial Councils to interact with the relevant ministers (active participation) (Edwards 2008:71). Thus, the MinMECs are constitutional bodies that promote coordination between the three government spheres by bringing together ministers and their provincial counterparts on a regular basis to ensure that the provinces are to access revenue while the MinMECs play a vital role in the implementation of decision-making policies (Dickovick 2011:48).

According to the Intergovernmental Relations Framework Act/IGRFA (13 of 2005), MinMECs are standing, intergovernmental bodies. Each MinMEC consists of at least a Cabinet member. The members of the Executive Councils are responsible for functional areas similar to those of Cabinet members. Executive council consists of ministerial forums, committees of ministers and members of the provincial executive councils and SALGA. Thus the MinMECs are sectoral policy forums composed of national ministers responsible for concurrent functions and their provincial counterparts. Joint MinMECs sectoral meetings are often held between the MinMECs of a selected sector and the budget council (Pillay in McLennan & Munslow 2009:138 & 151). This is highlighted by Kahn, Kalema and Madue (2011:76-77) who point out that the MinMECs bring together both national ministers and the members of Executive Councils tasked with concurrent functions. As stated by The Presidency (2012:26), MinMECs are specifically created to deal with concurrent functions. Kahn, *et al.*, (2011:76-77) regard the MinMECs as key instruments that promote consultation, communication, cooperation, coordination and collaboration between the national departments and their provincial and local counterparts and also serve as critical instruments that promote cooperative government and intergovernmental relations by bringing together different sectoral role players. Ministerial clusters were also created to improve service delivery and are discussed below.

3.4.4 Ministerial clusters

Ministerial clusters were reconfigured in 2009 as part of improving the coordination process within government and enhancing service delivery (The Presidency, 2009:1). New ministerial clusters were announced by the President, Mr Jacob Zuma, on 26 June 2014. These new ministerial clusters are aimed at fostering an integrated approach to governance by improving government planning, decision-making and service delivery. The main objective of ministerial clusters is to ensure the proper coordination of all the government programmes of the government spheres. Their main functions include ensuring the: (a) alignment of government-wide priorities, (b) facilitation and monitoring of the

implementation of priority programmes, and (c) provision of consultative platforms for cross-cutting priorities and matters taken up by the Cabinet (The Presidency, 2014:1).

These Ministerial clusters include: (a) governance and administration chaired by the Minister of the Department of Public Service and Administration and consisting of the Ministers of the National Department of Cooperative Governance and Traditional Affairs, National Department of Finance, Department of Public Service and Administration, Department of Communications, The Presidency and the Department of Planning, Monitoring and Evaluation, (b) social, protection, community and human development chaired by the Minister of the National Department of Social Development and comprising the Ministers of the National Department of Basic Education, National Department of Cooperative Governance and Traditional Affairs, National Department of Water and Sanitation, National Department of Human Settlements, National Department of Labour, National Department of Public Works, National Department of Rural Development and Land Reform, National Department of Social Development, National Department of Transport, National Department of Arts and Culture, National Department of Health, National Department of Higher Education and Training, National Department of Science and Technology, National Department of Sport and Recreation, The Presidency and the National Department of Women, (c) international cooperation, trade and security chaired by the Minister of the National Department of Telecommunication and Postal Services while the Deputy Chairperson is the Minister of the National Department of International Relations and Cooperation. This cluster is composed of the Ministers of the National Department of Defence and Military Veterans, National Department of International Relations and Cooperation, National Department of Telecommunication and Postal Services, National Department of Tourism, National Department of Trade and Industry, National Department of Environmental Affairs, National Department of Finance and Department of State Security, and (d) justice, crime prevention and security chaired by the Minister of the Department of Defence and Military Veterans while the Deputy Chairperson is the Minister of Police. This cluster is composed of the Ministers of the Justice and Constitutional Development, Department of Correctional Services,

Department of Police, Department of Defence, Department of Home Affairs and Department of State Security. The forum of South African Directors-General provides technical support to the ministerial clusters (The Presidency, 2014:1-2).

3.4.5 The forum of South African Directors-General (FOSAD)

The forum of South African Directors-General (FOSAD) promotes programme integration in the national and provincial government spheres. This forum is composed of the national and provincial directors-general (hereafter referred to as DGs) and it is chaired by the DG of the President's Office. It is a small forum and is similar to the cabinet clusters but focuses on specific areas such as human settlements, social issues, economy, security governance and administration (Edwards 2008:71). This is confirmed by Kahn, *et al.*, (2011:81-82) who highlight that FOSAD includes management committees which consist of small groups of directors-general. Management committee is responsible for operational matters and also overseeing the implementation of its resolutions. According to Kahn, *et al.*, (2011:81-82), Directors-General are the most senior members of government departments in South Africa responsible for administrative functions. FOSAD sits quarterly. Kahn, *et al.*, (2011:81-82) are of the view that although, the role of this forum has been diminished by the PCC, its functions include: (a) the provision of regular opportunities for DGs to share their policy formulation and implementation experiences, (b) the provision of opportunities for DGs to exchange ideas and assist each other in developing and managing the departments they lead in a professional manner, (c) assistance in horizontal and vertical coordination, (d) the enhancement of the relationships between DGs, ministers and deputy ministers, (e) the facilitation of information sharing on best practices in public administration and management and (f) serving as a cabinet advisor on interdepartmental policy, service delivery as well as financial and information dissemination issues.

3.4.6 Premier's coordinating forum (PCF)

The Premier's coordinating forum consists of the Premier, MECs for local government, any other members of the Executive Council designated by the Premier, mayors of district and metropolitan municipalities, a municipal councillor designated by the organised local government and an administrator of any such municipalities if such municipalities are the subjects of an intervention (provincial intervention in local government), according to section 139 of the Constitution of the Republic of South Africa, 1996 (Pillay in McLennan & Munslow 2009:139; Haurovi 2012:85). Members of this forum are responsible for consulting on and discussing matters of mutual interests at their meetings. Such matters may include: (a) the implementation of national policies and legislations affecting local government, (b) all matters arising from the President's Coordinating Council and other intergovernmental forums affecting local government, (c) the drafting of national policies and legislation affecting local government, (d) the development of provincial policies and legislation that are related to the national policies and legislation that affect local government, (e) the implementation of provincial policies and legislations that are related to the national policies and legislations that affect local government, (f) the coordination of provincial and municipal development to facilitate coherent planning in the province as a whole, (g) the coordination and alignment of the strategic and performance plans, priorities, objectives and strategies of both the provincial government and local government and (h) considering reports from other provincial intergovernmental forums and district intergovernmental forums. The Premier's coordinating forum is composed of premiers, MECs for local government and mayors of municipalities (Haurovi 2012:85-86).

The offices of the Premiers play a pivotal role in executive oversight, accountability and coordination in relation to the implementation of provincial programmes and government's service delivery initiatives (Department of Planning, Monitoring and Evaluation 2014:1). The National Council of Provinces (NCOP) is constitutionally tasked

with ensuring that provincial interests are taken into account in the national sphere of government by participating in the national legislative processes and providing a national forum for public consideration of issues affecting the provinces. According to Neethling (2015:1-3), the NCOP broadens participation by ensuring that citizens have direct access to parliament. The NCOP: (a) is responsible for harmonising the interests of the three government spheres, (b) creates platforms for public representatives from the three government spheres to present the needs of citizens, (c) ensures that the three government spheres work together in a seamless and integrated manner to deliver basic services to all citizens, (d) ensures that the three government spheres deliver services coherently in order to promote the cooperative government system, (e) plays a critical role in ensuring that the strategic plans of departments are accommodated in the IDPs and (f) ensures that the delivery plans and budgets of provincial and national sector departments are developed in a manner that reflects plans that include district municipalities plans. In view of the above, it is clear that the problems of citizens, including their housing problems, are reported directly to Parliament by the NCOP while local government's housing challenges are reported directly to the office of the Premier by this forum (Premier's Coordinating Forum).

3.4.7 Budget Council and Local Government Budget forum

The Intergovernmental Fiscal Relations Bill, which was promulgated in 1997, provides for the Budget Council and Local Government Budget Forums. This Bill produced the Intergovernmental Fiscal Relations Act (97 of 1997). The Budget Council and Local Government Budget Forums were established in terms of this Act (Intergovernmental Fiscal Relations Act 97 of 1997) and act as advisory bodies to MinMEC members on matters of national finance. Although these forums are constituted in terms of different sections of this Act, they consist of the same members; thus, the researcher deemed it fit not to discuss them separately. Through the Budget Council, national and provincial governments consult on fiscal, budgeting or financial matters which affect the provincial

sphere of government. The Budget Council is composed of the Minister of Finance who is the chairperson and nine (9) MECs for finance as provided for in section 2 of this Act. The Budget Council makes recommendations to Cabinet on the division of revenue. The National Government may use the Budget Council to consult the provinces on the division of revenue as required by law. Section 5 of this Act provides for the Local Government Budget Forum which consists of the Minister of Finance and the MECs for finance in each province. Section 6(a) of this Act requires that the national, provincial and organised local governments to consult on any fiscal, budgetary or financial matter affecting local government. The Local Government Budget Forum is used by organised local government in order to consult with the national and provincial government spheres on financial matters (Edwards 2008:71).

3.4.8 Provincial intergovernmental relations forums

Section 16 of the IGRFA (13 of 2005) mandates the Premier's intergovernmental forum to promote and facilitate the intergovernmental relations between the provincial and local governments in each province. The provincial intergovernmental forums are composed of: (a) Premier, (b) MEC for local government, (c) any MEC appointed by the Premier, (d) mayors of the district and metropolitan municipalities, (e) administrator of any municipality which has failed to fulfil an obligation and is, thus, subjected to an intervention by the relevant provincial executive, (f) municipal councillor appointed by organised local government, (g) chairperson (Premier) and (h) any person invited by the Premier. This composition is provided for by section 17 of this Act. Section 18 of this Act also provides for the roles of these forums, namely, (a) serving as consultative forums for the Premiers and local governments to discuss and consult on: (i) the implementation of national policies and legislation affecting local government's interests, (ii) the drafting of national policies and legislation affecting local government's interests, (iii) the development of provincial policies and legislation relating to the implementation of national policies and legislation affecting local government's interests, (iv) the

implementation of provincial policies and legislation relating to the implementation of national policies and legislation affecting local government's interests, (v) address matters arising from the PCC and other national intergovernmental forums and affecting local government's interests, (vi) the coordination and alignment of the strategic and performance plans, priorities, objectives and strategies of the provincial and local governments, (vii) the coordination of provincial and municipal development planning in order to facilitate coherent planning and (viii) any other strategic matters that affect the interests of local government.

Section 19 of this Act mandates the Premier to convene the meetings, provide administrative and support services, determine items on the agenda and receive any suggestions of these agenda items. Section 20 of this Act requires this forum to report annually to the PCC on progress with the implementation of national policy and legislation or any matter of national interest emerging from the forum. Section 22 of this Act mandates two or more Premiers to establish intergovernmental forums and tasks these intergovernmental forums with the responsibility of promoting and facilitating intergovernmental relations between the provinces involved. The composition, roles and functions of these forums must be agreed upon by the provinces involved. Section 23 of this Act requires the interprovincial forums to discuss and consult on: (a) sharing information, best practices and capacity building, (b) cooperating on provincial developmental challenges affecting more than one province and (c) any important strategic matter that affects the interests of the provinces involved.

According to the Department of Planning, Monitoring and Evaluation (2014:3), provincial departments should collect and analyse data related to their sectors from other sources in order to improve service delivery in their respective provinces. Those departments that are involved in concurrent functions such as the Mpumalanga Provincial Department of Human Settlements should also collect and analyse human settlements data from other government spheres in order to be in line with national human settlements developments.

This is possible only if provincial intergovernmental structures are effectively used. One such structure is the provincial intergovernmental forum. Provincial intergovernmental forums have not been sustainable and were ineffective in promoting intergovernmental relations due to the fact that: (a) their relations depend on trust between the role-players, (b) their decisions are not binding, (c) there are no defined roles for the national departments that operate in the province concerned or intervene in provincial operations, (d) their role in fostering improved intergovernmental coordination is ineffective, (e) there are no policy formulation mandates, (f) information is not shared between members, and (g) discussions are often shallow and tend to be fruitless despite the fact that the provincial intergovernmental forums' objectives are similar to those of the PCC (Levy & Tapscott 2001:88; Kahn, *et al.*, (2011:79-80). In addition, the NCOP ensures that provincial interests are taken into account in the national government sphere by participating in the national legislative processes and providing a national forum for the public consideration of issues affecting the provinces, including municipalities – also mentioned in sections 3.3 and 3.4.6.

3.4.9 Municipal intergovernmental forums.

These forums include district intergovernmental and inter-municipal forums (Edwards 2008:72). Section 24 of the IGRFA (13 of 2005) mandates district intergovernmental forums to promote and facilitate intergovernmental relations between the district municipality and the local municipalities in the districts. The composition of these forums is provided for in section 25 of this Act. As such they comprise the: (a) mayor of the district (b) mayors of the local municipalities in the district. If a local municipality does not have a mayor, then a municipal councillor must be appointed by the municipality (c) administrator of any municipality requiring intervention by provincial executive (d) chairperson (district mayor or administrator of a municipality that requires intervention) and (e) municipal councillor and (f) any person invited by the chairperson of the forum.

The roles of these forums are provided for in section 26 of this Act and include serving as a consultative forum for district and local municipalities in the districts to discuss and consult on matters of mutual interests such as: (a) drafting national and provincial policies and legislation relating to matters that affect the interests of the local government in the district, (b) implementing national and provincial policies and legislation relating to matters that affect the interests of the local government in the district, (c) dealing with matters arising in the Premier's intergovernmental forum and affecting the district, (d) providing services in the district, (e) providing mutual support in terms of section 88 of the Local Municipality: Municipal Structures Act (117 of 1998), (f) coherent planning and development in districts, (g) coordinating and alignment of the strategic and performance plans, priorities, objectives and strategies of municipalities and district, (h) dealing with any other important strategic matters affecting the interests of municipalities in the district and (i) referring any matter arising from district forums to the Premier's Intergovernmental Forum or any provincial intergovernmental forum established by the Premier as provided for in section 21(1) of this Act (South Africa. Local Municipality: Municipal Structures Act, 1998).

Section 27 of this Act requires the chairperson to convene meetings, preside over meetings, determine agenda items and receive suggestions from the local municipalities. The local municipalities may request the chairperson in writing to convene a meeting and may also include on the agenda any items that merit discussions. These forums should meet on an annual basis with service providers and other role players to discuss district developments in order to coordinate the effective provision of services and planning. District municipalities are responsible for providing administrative and other support services to the forum. Section 28 of this Act provides for the establishment of intermunicipality forums by two or more municipalities to promote and facilitate intergovernmental relations between them. The municipalities involved in the intermunicipality forums must agree on the composition, roles and functions of the forums. The roles of inter-municipality forums, as provided for in section 29 of this Act include: (a) serving as a consultative forum for the participating municipalities to discuss and consult each other on matters of mutual

interests, (b) sharing information, best practices and capacity building, (c) cooperating on municipal developmental challenges which affect more than one municipality, and (d) discuss and consult on any important strategic matter that affects the interests of the participating municipalities (South Africa. Local Municipality: Municipal Structures Act, 1998).

According to Nel (2014:83), in the main, the communication between municipalities and communities is poor. However, this should not be the case because section 74(a) of the Local Government: Municipal Infrastructures Act 117 of 1998 provides for the establishment of ward committees. These committees may recommend any matter affecting their wards to their ward councillors who, in turn, report the recommendations of the ward committees to the local municipal councils or the executive or mayoral committees. Ward committees promote participatory democracy in local governments and are led by ward councillors. These ward councillors: (a) are representatives of the communities in their specific wards in a municipality, (b) serve as a link between communities and municipalities and (c) present the communities' needs to the municipal councils (Mhlari 2014:34 & 40). Ward councillors are responsible for carrying out the constitutional mandate of the local government as stipulated in section 152 (Objects of Local Government) of the Constitution of the Republic of South Africa, 1996 (Mubangizi & Tshishonga 2013:301).

The Community Development Workers Programme (hereafter referred to as CDWP), established in 2003, is aimed at bridging the gap between government and those citizens who are in the greatest need of basic services. The community development workers (hereafter referred to as CDWs) in this programme are responsible for: (a) providing assistance to ensure the smooth delivery of services by identifying and overcoming obstacles, (b) strengthening the social contract between government and communities, (c) linking communities with government services, (d) passing community concerns and problems on to government structures, (e) improving government networks, (f) supporting

increased information exchanges and (g) supporting communities by bringing all the government departments that implement service delivery projects and programmes from the three government spheres closer to communities. The premiers are responsible for the political oversight activities in respect of this programme while the MECs for CoGTA are responsible for implementing the programme. The CDWs are expected to work closely with mayors, municipal councillors, ward committees and the government officials from all three of the government spheres (Department of Public Service and Administration 2007:3, 16 &19). The South African Local Government Association (SALGA) should endeavour to alleviate the local government service delivery challenges because its (SALGA's) main responsibility is to represent the local government effectively in the legislative processes of all the government spheres and in the intergovernmental executive processes (Kahn, *et al.*, 2011:80). In addition, the chairperson of the South African Local Government Association (SALGA) is one of the members of the NCOP. The fact that the Mpumalanga Provincial Department of Human Settlements was the agent responsible for the Construction of Youth Houses 50 Project in the Bushbuckridge Local Municipality, as stated in section 1.2, clearly indicated that the BLM was not accredited to implement housing projects. In addition, the results revealed that 53.3% of the ward councillors had indicated that the BLM should be accredited because the MPDHS hired contractors who built shoddy houses – see graph 12.

According to the South African Local Government Association (2012:6; 2013:4), accreditation is a capacitation mechanism which is used to allow municipalities to administer national housing programmes. Housing functions maybe devolved to municipalities by the MECs for the Departments of Human Settlements after consultations with the MECs for the Department of Finance, MECs for Local Government and officials of the organised local government in their provinces. It should be noted that the MECs report to the Premiers and that the offices of the Premiers play critical executive oversight, accountability and coordination roles in the implementation of provincial housing programmes and in all government's initiatives including service delivery initiatives – see section 3.4.6. Section 156 (1) (4) of the Constitution of the Republic of South Africa, 1996

provides for the national and provincial governments to assign a municipality, by agreement and subject to any conditions, the administration of any matter listed in Schedule 4, Part A. This includes housing. According to schedule 5 Part B, the functions of local government include adequate housing services, for example, refuse removal, waste disposal and municipal parks. This justifies the accreditation of all municipalities in order to enable them to implement national housing projects in their areas of jurisdictions so as to speed up housing service delivery.

3.5 Cooperative government and intergovernmental relations (good government) mechanisms

The improvement of public services, including housing, does not happen in a vacuum, it needs public servants. The White Paper on the Transformation of the Public Service was promulgated in 1995 with the aim of transforming the public service into a coherent, representative, competent, democratic instrument capable of implementing sound administration in South Africa. Section 1.5 of this White Paper states that there is a need for effective consultation both within the public service and with society in order to promote the vision of the Government of National Unity (GNU). The vision of the GNU is to continually improve the lives of all citizens through a transformed public service which is representative, coherent, transparent, efficient, effective, accountable and responsive to all the needs of the people. This requires the government, through the public service, to: (a) render services of an excellent quality to all citizens in an unbiased and impartial manner, (b) be consultative and democratic in both its internal procedures and in its relations with the public, (c) be open to popular participation and (d) be honest, transparent and accountable because the public service was centrally controlled (top-down management) during the apartheid era. The newly elected democratic government promulgated the Public Service Act (103 of 1994) with the aim of integrating the fragmented system of state administrations inherited from the apartheid era into a unified

public service. The cooperative government and intergovernmental relations mechanisms which may be used to promote good government are discussed below.

3.5.1 Consultation

It is incumbent on public servants to consult the citizens about the level and quality of the public services they (citizens) will receive in order to ensure that they (citizens) have a voice regarding the services delivered to them (Du Toit in Doyle, *et al.*, 2002:108). This view is supported by the United Nations Development Programme (UNDP) (2012:6) which states that consultation with citizens is essential because such consultation ensures ownership of the public services and also minimises the negative social impact that may result from the delivery of irrelevant public services. According to King and Nissley (2014:22), consultation involves: (a) seeking other people's thoughts about an issue or project, (b) discussions about the participants' needs and decisions on what may or may not be done, (c) taking peoples' interests into account and deciding what could be changed to accommodate people's concerns and (d) seeking agreement or trying to negotiate an agreement that leaves everyone involved reasonably satisfied but sometimes with the understanding that success is not guaranteed. Byrne (2011:14) is of the view that to consult means to get people to agree or disagree with a decision which has already been made. The first step in consultation is to seek other people's views, concerns, interests, hopes, fears and ideas in order to steer the consultation processes effectively. This must be done throughout the consultation processes in order to produce productive results (King & Nissley 2014:28). According to the Intergovernmental Relations Framework Act (13 of 2005), consultation means a process whereby the views of others on a specific matter are solicited, either orally or in writing, and then considered.

Consultation enables people to learn things: (a) they did not previously know, (b) they did not consider and (c) that would really influence their decisions. In consultation, it is

essential to take into account how would people like to be consulted because those who are involved in the communication processes must: (a) first initiate consultation in order to make key decisions about an issue, (b) then consult in a positive way as far as any arguments are concerned, (c) not engage in consultation processes if decisions have already been taken because this may result in obstacles to other people's proposals regarding the issue in question, (d) fully explain and describe their proposals and provide updated information as the consultation proceeds, (e) avoid dismissing the concerns of others, (f) ensure that agreements are written down and (g) document both the reasons for not reaching agreements and also the proposed solutions. It is essential that all stakeholders be involved in any consultation processes so that joint decisions may be made. Those consultations that are determined by laws, must be adhered to them (laws) (King & Nissley 2014:22 & 27-29). As regards adhering to the laws governing consultation, section 41(1)(h)(iii) of the Constitution of the Republic of South Africa, 1996, requires the three government spheres to consult with and inform one another on matters of common interest. Housing is one such matter of common interest because it is a concurrent function. The results of this study revealed that the three government spheres were individually involved in the implementation of the housing project in this study.

Communities are consulted via their ward councillors, especially in respect of capital projects because municipalities are mandated to put in place appropriate structures e.g. ward committees that represent communities during integrated development planning processes. Ward committees constitute a consultative link between municipalities and communities. The IDP committees and their sub-committees should enhance public participation and they must submit the service needs which have been prioritised to municipal councils for approval and then inclusion in the IDP. However, the identification of priorities depends on mayoral support because the mayor's office provides institutional support to municipal councillors who participate in budgetary processes. The mayor's office may manipulate the budgetary processes through political interference which may result in the citizens not being provided with relevant information on public budgeting. It should be noted that: (a) not all community representatives are sufficiently educated to

analyse budget allocations, (b) there is a lack of capacity in municipalities and (c) some community representatives lack the interest required to attend the public budgeting meetings where the prioritisation of housing needs takes place. This hampers effective consultation. In view of the fact that public participation and participatory budgeting in South Africa are grounded in legislation and the principles of democracy, the ward committee system (WCS) of a municipality should be used to empower ward committee members and enforce the relevant legal rules and principles in the ward committees (Matsiliza 2012:449-450). As stated above, the people must be consulted prior to the commencement of the communication processes. Communication is discussed below.

3.5.2 Communication

Public communication is a tool which is used by several relevant actors in creating meaning in the policy making processes (Bouckaert, *et al.*, 2007:335). Thus, it is essential that public servants and all the relevant stakeholders, including citizens, are effective communicators. This requires that they are clear about their: (a) purposes, (b) intents and (c) the results they want to produce through the communication processes so as to avoid poor communication of public service delivery processes (Kelley & Robinson in Newell, *et al.*, 2012:86). Poor communication occurs in instances in which people do not know how to talk to each other and causes frequent problems which often lead to dysfunctional relationships as well as a lack of trust in government or in any organisations. People must communicate about: (a) what they want to do, (b) the reasons for doing it, (c) alternative ways of doing it, (d) the causes of problems which have been identified and (e) solutions to these problems.

One-on-one conversation builds interpersonal relationships because people share facts and feelings during a true dialogue and not in debates that too often end up being a substitute for good communication in daily work life (King & Nissley 2014:26-27). Such good

communication may be achieved by cultivating listening, inquiry and feedback skills (Kelley & Robinson in Newell, *et al.*, 2012:82) because, as Sutton (2015:76-78) states, communication is merely a sending and receiving of messages and the senders should use the receivers' responses to communicate meanings that result in practical activities. Practical activities are the results of the interdependency of team members on each other to produce positive team outcomes. However, interdependency does not happen in a vacuum but through communication. For example, project housing managers are expected to draw up communication plans which identify the housing project stakeholders and role-players who, together with all project team members, should attend all project status meetings for coordination purposes. All meetings should focus on status as against project work plans and any issue regarding: (a) scope, (b) changes and (c) potential risks (Van der Waldt in Burger, *et al.*, 2002:114 & 124).

The National Department of Human Settlements is constitutionally mandated to communicate about and monitor the implementation of housing policies and human settlement developments (South Africa. Parliament of the Republic of South Africa 2014c:1). Communication: (a) is effective if it produces what the communicator wants and (b) is efficient if it produces the sought outcomes within reasonable amount of efforts (Solomon & Theiss 2013:18). It is essential that democratic governments communicate information to citizens because these democratic governments come into power on the basis of principles, policies and proposals (Negrine 2008:117). Government communication is part of the democratic process whereby government learns about the views of its citizens as well as their needs with regard to a particular policy issue. It is essential that government specifies the guidelines for effective and efficient communication with the citizens (Gelders & Ihlen 2010:6162). Democratic communication should encourage citizens to take an active part in their communities through the discussion of policy issues, problems and challenges (Waisbord in Obregon, *et al.*, 2014:153). Communication is an important aspect of the daily execution of government functions by the administrative personnel in all government spheres (Van Niekerk in Doyle, *et al.*, 2002:295). Bouckaert, *et al.*, (2006:334) are of the opinion that

communication is not an activity involving the transfer of information or the pursuit of views but that it is a tool that used by policy makers to create meaning in the policy making processes.

There are several types of communication. Firstly, there is policy communication which is used primarily by governments, development organisations and funding bodies. This type of communication plays a powerful role in empowerment because it enables the citizens to know their rights. The second type of communication is participatory communication which entails giving a voice to stakeholders to express their perspectives and needs and to negotiate complex issues. It may also provide a platform for collective decision making and action and for the reinforcement of the individual or group confidence underlying empowerment. Participatory activities must be designed specifically to take into account the nature of stakeholders, issues and solutions and the space needed for participation. Participation processes must be adapted to ensure that they are consistent with the situations at hand (Van de Fliert in Obregon, *et al.*, 2014:133). This view is affirmed by Viso in Obregon, *et al.*, (2014:269-270) who states that participatory communication encapsulates the redistribution of power and communicative resources while it also empowers people, communities and citizens to claim and exercise their fundamental rights.

In addition, participatory communication provides opportunities for dialogue with the affected communities to ensure that problems are identified and solutions for these problems are found jointly (Waisbord in Obregon, *et al.*, 2014:153). By so doing, citizens are enabled to transform their daily needs into realities and those who are benefiting from the deprivation of their rights and freedom are disempowered. Thirdly, there is organisational communication which serves as the purpose of coordination by establishing information and feedback systems within an organisation or project so that all stakeholders are informed about plans, issues, agreements and have an opportunity to express their views. Management uses this type of communication to communicate organisational goals to its employees (Bowler, Erasmus-Kritzinger & Goliath 2012:48; Van de Fliert in

Obregon, *et al.*, 2014:134). Fourthly, there is verbal or oral communication which involves the use of words and which may be either direct (face-to-face) or indirect (telephone) (Erasmus-Kritzing in Bowler, *et al.*, 2012:9). The researcher applied this type of communication when collecting the requisite data from the participants in this study.

Some advantages of oral communication include: (i) the quick exchange of ideas because it is possible to convey such ideas to distant places speedily and no written messages are required (ii) the provision of quick feedback that helps the sender to understand the extent to which the receiver understood the message conveyed during the conversation (iii) flexibility because ideas may be changed according to the situation or interest of the receiver (iv) being an economic source because messages are conveyed orally (v) the personal touch because both sides are able to understand each other's feelings and such understanding may even be enhanced (vi) the effective improvement of source-receiver impressions about the issue communicated (vii) the removal of misunderstandings and doubts instantly (viii) instant motivation and encouragement and (ix) increased efficiency because the same message is collaboratively conveyed to all the receivers or recipients (Ahuja & Kushal 2009:10-11; Strydom 2012:11). Fifthly, there is non-verbal communication which refers to the process of conveying meaning without using spoken words. This type of communication includes non-verbal body language, gestures and facial expressions (Ahuja & Kushal 2009:5; Bone & Griffin 2014:54). Sixthly, there is political communication which involves socio-cognitive processes (Forgas, Laszlo & Vincze 2014:283). Such communication is grounded in the political and economic structures which guide access to key resources such as adequate housing (Wilkins in Obregon, *et al.*, 2014:61). Seventhly, there is human communication which involves interacting with people (Treadwell 2011:39).

The process of human communication involves active listening which is open, tolerant, openness to being influenced and provides sufficient time for people to express their views. It is important that human beings communicate collaboratively because they are regarded

as agents, intermediaries and gatekeepers in their operating arenas, for example, government institutions (Williams 2012:42-44). Eighthly, intra-personal communication entails communication with oneself. However, if the thoughts are communicated to subordinates, they might add value or contribute to the strategic objectives of the organisation (Erasmus-Kritzinger in Bowler, *et al.*, 2012:6). Ninthly, interpersonal communication, which involves face-to-face interactions and allows people to communicate both verbally and non-verbally using words, gestures and body language. This type of communication builds relationships because one person's actions affect and reflect another person's actions. In this way, people become connected (Solomon & Theiss 2013:5-6). Tenthly, group communication, which involves interaction between a limited number of people who are working together primarily to share information, develop ideas, make joint decisions and solve problems jointly. Good government mechanisms such as consultation, communication, cooperation, coordination and collaboration facilitate both harmony and unity in a group.

If the group is large, it is important that the group is split into small groups for the purposes of collaboration and to ensure that each group member has an opportunity to express his/her ideas. This will result into a cohesive group and group members will gladly attend meetings, be friendly and cooperate effectively (Shober 2010:89). Eleventhly, public communication which is used to inform or persuade citizens or the members of an audience either to develop or retain certain attitudes, values or beliefs (Ahuja & Kushal 2009:5). This type of communication is formal and takes place in a public place (Cleary 2010:9). Twelfthly, mass communication, which is used to convey messages to the entire population and includes TV, radio and the press (Erasmus-Kritzinger in Bowler *et al.* 2012:7). Thirteenthly, extrapersonal communication which entails talking to animals or objects (Erasmus-Kritzinger in Bowler, *et al.*, 2012:7). Fourteenthly, written communication which implies any information which is exchanged in the written, printed and electronic form (Diggines & Machado 2013:20-20-21). Fifteenthly, internal communication takes place within departments or within an organisation (Erasmus-Kritzinger, *et al.*, 2011:12). Fifteenthly, external communication which is used for work-

related information including, inter alia, brochures, manuals, annual reports, progress reports (Ahuja & Kushal 2009:23; Erasmus-Kritzinger, *et al.*, 2011:12). Sixteenthly, horizontal communication, which takes place from one department to another and necessitates the coordination of activities (Ahuja & Kushal 2009:35). However, Erasmus-Kritzinger, *et al.*, (2013:15) are of the opinion that this type communication takes place across departments and between people who are at the same level of authority. Seventeenthly, vertical communication, which takes place between employees and management at different levels in institutions and includes the downward communication used by management to instruct employees (Erasmus-Kritzinger, *et al.*, 2013:15).

The term communication is derived from the Latin word *communis* or *communicare* which means to make common (Cleary 2010:17; Treadwell 2011:13). The word common is used because when people are engaged in communication, for example, in a conference room, the assumption is that everyone will hear the same message although the chances are high that the message will be interpreted differently. According to Ahuja and Kushal (2009:4), communication means to: (a) make facts, information, thoughts and requirements common or to make them known, and (b) exchange thoughts, messages, information, among other things, by means of speech, signals or writing. Some of the aspects of communication include: (a) a message which is to be communicated, (b) a sender who sends the message, (c) a medium through which a message is sent, (d) a receiver who receives the message and (e) a return response or feedback from the receiver. This view is affirmed by Erasmus-Kritzinger in Bowler, *et al.*, (2012:3) who states that communication is a two-way process whereby information or message is sent from one person through a particular channel to a receiver who will then provide feedback to the sender.

Some models of communication include the: (a) linear model which is regarded as a one way transmission of meaning, for example, if parliament's portfolio committee on human settlements instructs the Director-General (DG) of the National Department of Human Settlements (NDHS) to submit a national housing plan by the end of the week, (b)

interactive model which is regarded as a two way communication and assists to understand the frequency with which communication is reciprocal and the role played by feedback. Reciprocity implies a mutual exchange of meanings, and (c) transactional model which reflects the ongoing and collaborative nature of communication that assists in determining whether the communication comprises more than a single act or single event. This model highlights the relations between the individuals who are communicating and emphasises ongoing communication activities. When people communicate, they may be said to be in a relationship with each other and this implies connections which may be brief, long-term and/or significant. In workplaces such as government institutions, it is important that these relationships are supportive and fun while the connections must produce an ongoing exchange of communication or transactions in order to improve service delivery including housing service delivery.

In long-term relationships with others, there is a history as well as a shared past and the prospect of building a future with them. The model encapsulates the following five (5) characteristics of interpersonal communication, namely, (a) continuous process, (b) dynamic process because meanings change and unfold over time, (c) consequential basis which means outcomes are produced, people are assisted to accomplish goals, the fulfilment of goals is influenced and people are assisted to change their relations, (d) irreversibility because it is not possible to take back the said message/s, and (e) imperfection because it is not possible to communicate one's thoughts completely to others (Solomon & Theiss 2013:8-10; Bone & Griffin 2014:11-15). Should the South African democratic government adopt these communication models (linear, interactive and transactional), service delivery should be improved because it would be possible to provide frequent feedback to communities. Feedback plays a crucial role in communication because it: (a) involves a receiver's response to the message, (b) is a final link in the communication process and (c) informs the source how the receiver received and interpreted the message. Positive feedback indicates that the receiver understood the sender's message while negative feedback conveys a lack of understanding (Diggines & Machado 2013:29; Ahuja & Kushal 2009:8). Communication may be said to be a process

because, when people communicate either civilly or ethically, they are part of an ongoing exchange of meanings (Bone & Griffin 2014:7). For example, in meetings people consider what they want to say, say things and listen to other people's responses. If the exchange goes well, the process continues, new messages are conveyed and often relationships or connections with others arise. This promotes cooperation.

3.5.3 Cooperation

The use of communication processes to determine the way in which cooperative governance takes place within and between government spheres is crucial (Gibbens 2008:68). It is important that the cooperative government and intergovernmental relations structures which have been established are cohesive to enforce normative and consistent cooperation while fractured ones (structures) should be dissolved (Margolin & Monge in Moy 2013:7). Cooperation is particularly necessary in instances in which interactions are characterised by shared information and mutual trust (Williams 2012:19). This view is supported by Lee and Yu (2013:85) who state that cooperation between government and citizens enhances the trust which encourages citizens to comply with or adhere to government public policies.

Policy making is primarily the realm of elected officials while policy implementation is primarily the realm of administrative officials who may be influenced by the views of elected political officials in some instances. However, political socialisation tends to foster intergovernmental cooperation. Policy implementation is predominantly cooperative and offers provincial and local government officials opportunities to negotiate service delivery issues with national government officials and to secure concessions (Kincaid in Meek & Thurmaier 2012:25 & 27). Power between the spheres of government is highly dependent on the context of policy domain in question (Koliba in Meek & Thurmaier 2012:73). However, Koliba, *et al.*, (2011:110) are of the view that the foundation of cooperation is

not, in fact, trust but, instead, it is the durability of the relationship. Kincaid in Meek and Thurmaier (2012:28) is of the view that cooperation is likely to continue into the 2020s. Successful cooperation may guarantee desirable outcomes although it is important that all the participants demonstrate the same level of commitment to collaboration (Lee 2011:117). Margolin and Monge in Moy (2013:1) regard a community that produces knowledge as a unique representer of organised cooperative activities because, practically, cooperation validates new knowledge. Communities represent the key stakeholders in democratic governments and it is by communicating and empowering these communities that new knowledge is built.

Section 41(1)(h) of the Constitution of the Republic of South Africa, 1996, states that the three government spheres must cooperate with one another in mutual trust and good faith while section 3 of the Local Government: Municipal Systems Act (32 of 2000) supports cooperative government. It is important to determine how cooperative government takes place via the communication processes both within and between the government spheres. The IDP process takes place at the local government level. The implementation of the municipal accreditation frameworks requires cooperation between the provincial and local government spheres although, as mentioned in sections 3.2.2 and 3.3.1, it is one of the core functions of the Portfolio Committee of Human Settlements. In fact, in South Africa, the provinces insist on retaining the contract management functions and they continue to approve housing projects (South Africa. Parliament of the Republic of South Africa 2014c:9). Multiple relationships play an important role as regards monitoring and cooperation (Lee 2011:121). Accordingly, relationships may be regarded as a major tool in coordinating activities because if the relationships between the coordinators sour, activities will either be only partially executed or not executed at all. Coordination is discussed below.

3.5.4 Coordination

A lack of coordination hampers fundamental change in the functions, teams and individuals in any institution (Van der Waldt in Burger, *et al.*, 2002:126). However, this may be prevented if the expected outcomes of a particular housing project are recorded for coordination purposes within and between the different government spheres (Gibbens 2008:48). Malan (2005:238) regards coordination as a process of ensuring that the functions and activities of government spheres do not overlap and that any duplication of functions is avoided. Williams (2012:19) attests to this by stating that coordination represents an effort to reduce duplication of pool resources and assists in achieving shared goals. It is vital that government managers coordinate their institutions' activities or units to prevent such activities from overlapping as this may be costly in terms of time, human resources and other resources, thus resulting in fruitless expenditures (Du Toit in Doyle, *et al.*, 2002:85). According to Nkuna and Sebola (2012:73), coordination is one of the management functions developed by public administration theorists.

Some of the management functions developed by public administration theorists include planning, organising, staffing, directing, coordinating, reporting and budgeting (hereafter referred to as POSDCORB). However, these management functions seem to be a myth as far as their execution in the South African context with the majority of municipalities complaining about a shortage of personnel or a lack of capacity. In addition, the Limpopo Provincial Department of Cooperative Governance, Human Settlements and Traditional Affairs failed to spend the R560-million budgeted for the building of public houses. As reported by Sidimba (2015:2), this unspent allocated budget was then shared between the Eastern Cape Provincial Department of Human Settlements, KwaZulu-Natal Provincial Department of Human Settlement and Public Works and the Western Cape Provincial Department of Human Settlements. Seale (2014:2) reported that the Minister of the National Department of Human Settlements, Ms Lindiwe Sisulu, had voiced concern about

some of the housing developers who are building shoddy houses as a result of a lack of coordination between the role-players.

How is it possible that shoddy houses continue to be built when the National Department of Human Settlements is working closely with the National Home Builders Registration Council (hereafter referred to as NHBRC and the major role of the NHBRC is to inspect the houses which have been built to ensure that they meet the set national building standards before they are handed over to the targeted beneficiaries? It may, thus, be concluded that the housing managers are not executing these POSDCORB functions effectively because of a lack of joint coordination. Joint coordination creates the network collaboration which promotes intergovernmental relations through consultation, communication, coordination and capacity-building (Mubangizi, *et al.*, 2013:792). This may produce fruitful interaction between the various government spheres and other stakeholders. Such fruitful interactions may also provide a platform on which to share the lessons about cooperative government and intergovernmental relations which have been learnt from other public service delivery programmes or projects. The models of coordination include, firstly, that of mutual adjustment where each organisation continues to focus primarily on its own clients and constituents. In this case, coordination tends to focus on specific cases rather than on a system.

The bulk of the interaction between the members of an organisation includes information flows and consultation between them. Each organisation continues to strive for its own goals in addition to any of the more inclusive system goals that may have developed through the coordination processes. A second model of coordination is the alliance model which is an intermediate between mutual adjustment and corporate strategies. The third model is corporate which focuses on an inter-organisational system although each organisation maintains its own goals in the presence of coordinated efforts to develop and achieve the inter-organisational goals. In such a case, there is often a written plan that specifies the responsibilities of each organisation. Coordination and integration are two

categories of intra-and-intergovernmental relationships in holistic governance. Intra-organisational relationship results from the interdependence of the different spheres of government as regards accomplishing certain goals while coordination enables diverse groups to work together towards common goals or issues (Gibbens 2008:49-50,67 & 94).

Section 41(1)(h)(iv) of the Constitution of the Republic of South Africa, 1996, states that the three government spheres must coordinate their actions and legislation with another. One of the objectives of the National Department of Human Settlements is to coordinate and monitor the implementation of housing policies and human settlements developments (South Africa. Parliament of the Republic of South Africa 2014c:1). Local governments coordinate with other government spheres for the purposes of information exchange although it is probable that they will also commit to partnerships through contracts. Although these partnership contracts may create tightly clustered network structures, they may also be used to reduce uncertainty regarding the functions and risk of defection on the contracts which have been entered into. Coordination and cooperation impose different incentives for policy actors to seek collaborating partners. Local governments engage in local economic development processes through collaboration with other government spheres (Lee 2011:113 & 115). Berry, *et al.*, (2012:248) are of the view that political organisations should assist each other in coordinating the actions of public officials despite the fact that multi-party political organisations consist of politicians.

It is important that these politicians understand that politics is the process of determining leaders selected by the public. The leaders selected must then develop policies and make authoritative decisions about public issues including housing challenges (Edwards, *et al.*, 2012:11). At this point, it is worth noting the drama that took place during the state of the nation address (hereafter referred to as SONA) speech on 12 February 2015 by President Zuma and where other parties such as the Economic Freedom Fighters (EFF), Democratic Alliance (DA) and United Democratic Movement (UDM, boycotted the speech after the President (Mr Jacob Zuma) had failed to answer a question posed on the exact repayment

date of the Nkandla funds. This boycott action created doubts as to whether politicians in this country are aware of what their real roles, responsibilities and constitutional mandates are or whether they just want to cling to the power and high positions provided by the cadre deployment policy as discussed in sections 1.2.2, 2.3.1 and 2.5.3. If these doubts are correct, how could cooperative government and intergovernmental relations ever be promoted because the majority of these politicians, especially those who precipitated the SONA drama in Parliament, are heading government institutions and are expected to promote good government through consultation, communication, cooperation, coordination and collaboration in the execution of government functions in order to improve service delivery. Coordinated activities need to be collaborated. Collaboration is discussed below.

3.5.5 Collaboration

Distrust in the public sector hampers the collaboration which is aimed at achieving public purposes (Newell, *et al.*, 2012:8). Government departments or organisations rarely succeed on their own. However, building effective collaborative relationships with other departments is not easy. For collaboration to be effective or to ensure that it lays its own successful foundation there must be: (a) a shared purpose, (b) a desire to collaborate, (c) involvement on the part of appropriate people, (d) an open and credible process, (e) presence of leaders making efforts, and (f) trust, relationships between the principals involved. Collaboration justifies working across both internal and external organisational boundaries because problems are addressed effectively only when people from different disciplines and functions work together to find solutions or to produce truly impressive results. The appropriate people who should be involved in the collaboration processes include those people who have a stake in the issue concerned, have a contribution to make and are regarded as important role players. Some of the challenges of collaboration include: (a) lack of commitment on the part of some of the principals, (b) non-attendance at collaborative meetings, (c) history of distrust or conflict between the leading

departments, (d) collaborative team members who do not work or play well with others and (e) departments that refuse to join the collaborative processes (Linden in Newell, *et al.*, 2012:239-240 & 260).

Collaboration is a permanent and important feature of the public policy landscape (Williams 2012:136). Collaboration focuses on cooperative problem solving in order to meet everyone's goals and satisfy their needs. People who use collaborative styles are not only concerned about themselves but also about others. The establishment of open lines of communication, seeking and sharing information assists those who are involved in the collaboration processes to find a solution which suits all the parties concerned (Bone & Griffin 2014:150). Collaboration originates from the action of participating in and negotiating a shared solution to a common goal (Mubangizi, *et al.*, 2013:790). Intra-and intersectoral collaboration in public policy promotes cooperation between public, private and third sectors (Williams 2012:9). This third sector may be said to refer to public and civil organisations and NGOs. The New Public Management (NPM) model adopted provided for intra and intersectoral collaboration. However, adequate housing is still inaccessible to several housing beneficiaries (Ndinda, *et al.*, 2011:263).

Collaboration results from cooperative inter-organisational relationships that rely on negotiated and ongoing communicative processes (Williams 2012:15). Gibbens (2008:74) is of the view that collaborative planning involves an organisation's planners engaging in deliberative processes of expression, understanding and debate. This is affirmed by Ahuja and Kushal (2009:3) who state that collaboration allows organisations to capitalise on a diverse workforce with such capitalisation depending on effective communication. Collaborative decision-making in democratic countries with a diverse work force such as South Africa, should be encouraged to promote opportunities for the creation of resource prioritisation processes such as housing and budgeting (Matsiliza 2012:451). Local authorities should collaborate with other officials in the other government spheres and engage in the local economic development processes which result from collaboration with

other government spheres in order to secure scarce resources efficiently and maximise their own interests (Lee 2011:113-114). Public housing in most instances is provided through housing projects and it is essential that housing project managers ensure that planning and scheduling tools to support collaboration are developed. Collaboration is vital if housing projects are to be successful. Collaboration promotes top-down hierarchies toward collaborative team structures (Van Niekerk in Burger, *et al.*, 2002:408). The benefits of collaboration include: (a) sharing of information, joint solutions to problems and learning from each other, (b) building of effective and efficient social collaborative networks which may be used as mechanisms to achieve more service delivery objectives, and (c) increasing bonding which may reduce the need for formal control, monitoring, auditing and inspections (Gray, Jenkins & Leeuw in Gray, *et al.*, Jenkins, 2003:14-16). The word collaborate is derived from the Latin term *collaborat* (us), meaning to work or labour together.

Collaboration and cooperation are often used interchangeably to describe the relationship forged between two or more organisations with the power within these relationships being structured through trust (Koliba, *et al.*, 2011:109). However, taking part in collaborative government is sometimes restricted because the collaborative government in questions manifests features of co-regulation. This implies that the objectives defined by the legislative authority to parties are attained by parties in the field (Lee 2014:89-90). Parliamentary questions promote collaborative government. As Madue (2014:871 & 873) states, questioning is one of the most common legislative mechanisms and, particularly in democratic countries, which is used to hold the executive accountable with the executive having to provide accurate and truthful answers to the legislature in order to give meaning to the importance of using legislative questions as a tool for holding the executive accountable.

By 2020 elected leaders will be absorbed into a system that respects intergovernmental communication and processes in the world because under a collaborative system, the

relationships across government and between organisations will have firmer foundation than is currently the case and will be based on trust that has been earned via effectively implemented cooperative government and intergovernmental relations processes. Elected officials from all government spheres will enter into a system that existed before their arrival and they will be expected to be intimately involved in the collaborative system in 2020. It should be noted that collaboration refers to the process in which autonomous actors: (a) interact through both formal and informal negotiation, (b) jointly create the rules and structures governing their relations and ways to act and decide on the issues that brought them together and (c) take into account norms and mutually beneficial interactions because collaboration is an ongoing process (Lester in Meek & Thurmaier 2012:164). According to Lee (2011:117), the degree of collaboration between government and citizens is limited to the trust which citizens have in their governments. In addition, if there is to be true collaborative government, the public servants must have trust in the citizens and engage them in the public administration processes. Collaborative governance brings stakeholders from the public sector, public agencies and private sector together in collective forums to jointly engage in consensus oriented decision-making processes. Public, private and partnerships (PPPs) require collaboration in order to function because, in most instances, their goal is to achieve coordination rather than decision-making consensus. However, collaboration either facilitates or discourages cooperation between stakeholders (Ansell & Gash 2007:543-550).

3.6 Provision of adequate housing as a concurrent function of the three government spheres in South Africa

In South Africa, the provision of housing has suffered due to a lack of coordination and the sharing of resources (Mubangizi, *et al.*, 2013:781). However, this should not be the case because the Department of Provincial Government and Local Government (DPLG), now the Department of Cooperative Governance and Traditional Affairs (CoGTA), developed a guideline for the management of joint programmes in 2005 as discussed in

section 1.2. The aims of this guideline include: (a) promotion of effective joint management of housing projects, (b) coordination of funding arrangements and (c) budgeting for a joint project. According to this guide a joint project is a national development priority that requires the involvement of various state organs in the different government spheres in the planning and implementation of projects. The roles, responsibilities and performance targets for each department should be stated clearly (Department of Provincial and Local Government 2005:17-18 & 23). Housing is one of the basic services which requires functional cooperative government and intergovernmental relations with input from all spheres of government because the intergovernmental delivery system: (a) is founded on the principle of cooperative government and (b) its design is informed by the Constitution of the Republic of South Africa, 1996.

Housing is one of the national priorities (outcome 8) of the National Development Plan (NDP). The concurrent functions of the three government spheres include: (a) policy-making, (b) policy implementation and (c) monitoring and performance assessment. Concurrent powers may hamper relations although they are constitutionally conferred on the government spheres (Greenblatt & Smith 2014:35). Pillay in McLennan and Munslow (2009:137 & 151) is of the view that concurrent functions such as housing delivery result in serious problems in most instances because it (housing) is funded from national government while housing development projects are implemented by provincial and local governments. This requires the development of interpersonal relationships because such interpersonal relationships are part of the process of: (a) exposure, exploration, discovery and understanding of people and the organisations they represent and (b) the search for knowledge about roles, responsibilities, problems, accountabilities, cultures, professional norms and standards, aspirations and underlying values. The relations between government organisations, traditions and their function systems should be distinguished carefully from the relations between government organisations and interaction systems or networks (Esmark in Bevir 2011:99).

The quality of information is important in identifying potential areas of community and interdependency (Williams 2012:43). It is important to note that each government department has its own operational policies which may sometimes hamper good relations and effective consultation, communication, cooperation, coordination and collaboration between the three government spheres. Garcia-Zamor (2009:4-5) is of the view that housing that is structurally sound, safe and liveable is a fundamental human need that must be met in order to ensure a normal and a healthy life although affordability is a major concern in housing accessibility. If families are not able to find homes that are affordable in a location that is accessible to work and good schools, then other challenges such as full employment and improved education arise. It is therefore, crucial that policy and planning experts in all the government spheres investigate the innovations that are aimed at expanding the housing choices and availability that support sustainability.

According to the Housing Act (107 of 1997), a housing development project refers to any plan to undertake a housing development as contemplated in any national housing programme. A housing development, according to this Act, refers to the establishment and maintenance of habitable, stable and sustainable public and private residential environments to ensure viable households and communities in areas which allow convenient access to: (a) economic opportunities, (b) health facilities, (c) education and (d) social amenities so that all the citizens and permanent residents of the Republic of South Africa will, on a progressive basis, have access to: (a) permanent residential structures with secure tenure, privacy and adequate protection against the elements of the extremes of weather and (b) potable water, adequate sanitary facilities and domestic energy supply. Section 2(1) of this Act stipulates the general principles which are applicable to housing development. These principles require the national, provincial and local spheres of government to: (a) give priority to the housing needs of the poor and (b) consult meaningfully with the individuals and communities affected by housing developments (South Africa. Housing Act, 1997).

Housing development: (a) is based on integrated development planning included in the IDPs of municipalities, (b) is administered in a transparent, accountable and equitable manner and upholds the practice of good governance, (c) encourages and supports individuals and communities including cooperatives, associations and other bodies which are community based in their efforts to fulfil their own housing needs by assisting them in accessing land, services and technical assistance in a way that leads to the transfer of skills and empowerment of the community in question, (d) promotes safe and healthy living conditions to ensure the elimination and prevention of slums and slum conditions (e) promotes the meeting of special housing needs such as the needs of the disabled, (f) observes and adheres to the principles of cooperative government and intergovernmental relations in all administrative matters relating to housing development, (g) facilitates active participation of all relevant stakeholders in housing development, (h) provides a wide range of housing and tenure options that are reasonable and (i) must be economically, fiscally, socially and financially affordable and sustainable.

Constitutionally, each government sphere has its own roles and functions as regards delivering adequate housing. The National Department of Human Settlements (NDHS) is an overall leader in the human settlements sector in South Africa and is obliged to create a policy framework in order to enable the other two government spheres to operate effectively (Booyesen, *et al.*, 2010:17). One of the major roles of the national government is to ensure that the Minister of the National Department of Human Settlements consults with every MEC of the Provincial Departments of Human Settlements and with national organisations representing municipalities, as contemplated in section 163(a) of the Constitution, to establish and facilitate sustainable national housing development processes. Section 7(1) of the Housing Act (107 of 1997) mandates every provincial government, through its MEC for the Provincial Department of Human Settlements, to consult with the provincial organisations representing municipalities, as contemplated in section 163(a) of the Constitution of the Republic of South Africa, 1996, to do everything in its power to promote and facilitate the provision of adequate housing in its province within the framework of the national housing policy. Provincial governments have official

mandates to provide: (a) access to proper housing, (b) housing subsidies and (c) housing regulatory and legislative frameworks in which provincial housing priorities may be addressed and in accordance with which municipalities have to operate. These frameworks must be aligned to the national housing frameworks (Booyesen, *et al.*, 2010:18).

Section 9(1) of the Housing Act (107 of 1997) requires every municipality, as part of the municipality's process of integrated development planning, to take all reasonable and necessary steps within the framework of national and provincial housing legislation and policy, among other things, to ensure that: (a) the inhabitants in its area of jurisdiction have access to adequate housing on a progressive basis, (b) unhealthy conditions are prevented, (c) services such as water, sanitation, electricity, roads, stormwater drainage and transport are provided in a manner which is economically efficient, (d) housing delivery goals are set, (e) land for housing development is identified and designated (f) the resolution of conflicts arising in the housing development process is promoted, (g) land use and development is planned and managed effectively, (h) participation in a national housing programme in accordance with the rules applicable to such programme, (i) the participation of other role players in the housing development process is facilitated and supported, (j) the administration of the national housing programmes of a municipality is accredited, (k) housing development in its area of jurisdiction is initiated, planned, coordinated, facilitated and promoted, (l) a joint venture contract with a developer (agent) in respect of a housing development project is entered and (m) for accreditation purposes, the municipality applies in writing to the MEC of Provincial Department of Human Settlements on the form determined by the MEC to be accredited (South Africa. Housing Act, 1997).

The roles and responsibilities of municipalities increase after the accreditation of the municipality by the Provincial Department of Human Settlements. The purpose of accreditation is to position decision making at the local level and to ensure that local authorities have access to funding and capacity (Booyesen, *et al.*, 2010:18). Accreditation

is regarded as a capacitation mechanism which allows municipalities to administer national housing programmes (National Department of Human Settlements 2012:6). Before municipalities may be accredited, they must demonstrate that they have capacity to plan and implement national housing programmes and projects in order to support and enhance the housing provision of the Provincial Departments of Human Settlements (Senoamadi 2014:65-66). Municipalities should be central actors by functioning as a link between provincial governments and stakeholders (Booyesen, *et al.*, 2010:18). Local government authorities in South Africa are failing to respond positively to the needs of communities. Municipalities need to strengthen the innovative platforms of participatory democracy and foster close and more regular engagements between citizens and their public representatives in order to address the poor communication problem so that service delivery, including housing service delivery, may be improved (Nel 2014:83). Due to the fact that most development projects, including housing, are initiated and implemented at the local government level, decentralisation and intergovernmental relations should be used as crucial tools in order to implement and manage these development projects.

In its essence, development means moving away from unsatisfactory social, economic and political condition to conditions that are more humane, relatively prosperous, environmentally safe and political more inclusive than was previously the case (Huque & Zafarullar 2012: 43-45, 271 & 288). Housing researchers tend to focus on specific problems because housing is an applied discipline which encompasses related housing issues such as poverty, economy, employment, social status, housing adequacy and housing developments (Bryant, Fidzani, Steggel & Yamamoto 2006:17-19). Trends in poverty and social inclusion should be identified in order to understand and respond positively to public housing development needs (Braga & Palvarini 2013:6). Mulondo (2009:18-19) is of the view that South Africa regards housing as a financial and economic asset that may be used to alleviate poverty, thus supporting the central notion of Breaking New Grounds (BNG). Poverty may be alleviated by formally registering houses in the beneficiaries' names so that they may sell these houses at a higher value after a certain period of time and buy bigger houses. Local governments are the agents of development

which is one of the principles of decentralisation (Olum 2014:24). Section 195(1)(c) of the Constitution of the Republic of South Africa, 1996, requires public administration to be developmental oriented (South Africa. Constitution, 1996).

3.7 Conclusion

Government is a structure that consists of government institutions in which government officials work with the aim of providing certain government services to societies. Governments make laws and ensure that government institutions implement these laws in order to provide services prescribed by such laws. This justifies the effective use of cooperative government and intergovernmental relations mechanisms such as consultation, communication, cooperation, coordination and collaboration as this promotes the effective participation which implies that all citizens enjoy equal opportunities for expressing their preferences throughout the processes of making binding decisions. All the stakeholders and role players must be involved and given opportunities to participate in the housing project management processes in order to ensure a total commitment to the projects' objectives which have been set. In addition, public servants must have trust in the citizens and a will to engage them in the public administration processes.

Constitutionally, each government sphere has its own roles and functions in delivering adequate housing. One of the major roles of the national government is to ensure that the Minister of the Department of Human Settlements consults with every MEC of the Provincial Departments of Human Settlements and national organisations representing municipalities in the establishment and facilitation of sustainable national housing development processes. The Portfolio Committee on Human Settlements is tasked with ensuring that the objectives of outcome 8 of the NDP are achieved. In its essence, development means moving away from unsatisfactory social, economic and political

conditions to conditions that are more humane, relatively prosperous, environmentally safe and politically more inclusive than was previously the case. South Africa regards housing as a financial and economic asset that may be used to alleviate poverty, thus supporting the central notion of BNG. Local governments are agents of the development which is one of the principles of decentralisation.

CHAPTER 4

RESEARCH DESIGN AND METHODOLOGY

4.1 Introduction

This study employed a case study design in order to describe, explain and explore cooperative government and intergovernmental relations in depth. The study also used mixed methodologies because case study research generates large amounts of information from different sources (Algozzine & Hancock 2011:68). As one of the basic public services, housing encompasses housing services. The description of these services justified the use of the qualitative research methodology while the extent to which these services are rendered justified the use of the quantitative research methodology. The study results revealed that housing services such as water, sanitation and electricity were provided to the beneficiaries – see chapter 5. Water and sanitation were supplied free of charge – see Annexure F, while electricity had to be purchased by the beneficiaries. It was also possible to calculate and quantify the total number of beneficiaries and the housing services delivered (Kumar 2011:14). This study focused on fifty (50) houses which had been built and allocated to the beneficiaries. The total calculated number of housing services provided, such as tenure, water, electricity, sanitation and waste removal services, among other services, determined the adequacy/inadequacy of the houses provided. Multiple sources were used to collect the requisite data. The use of multiple sources to collect information is known as triangulation (Yin 2009:120; Algozzine & Hancock 2011:71). Triangulation assists researchers to verify the validity and reliability of the data being collected or which has already collected (Gerring 2012:205). This chapter discusses research design, case study, research methodology, sample, research instruments, data analysis, reliability, trustworthiness, validity and ethical considerations.

4.2 Research design

Different research problems lead to different: (a) research designs, (b) methods, (c) and interpretations of the data which has been collected and analysed (Leedy & Ormrod 2014:97). Case study design was used for the purposes of this study. This study described, explained, explored, defined and discussed certain elements of cooperative government and intergovernmental relations such as democracy, good government and government mechanisms. This is because case studies are descriptive, explanatory and exploratory. Descriptive study allows researchers to describe the issue or problem under study, explanatory study allows researchers to clarify the reason for and the form of a relationship between aspects of a situation or problem while exploratory study allows researchers to explore additional information which results in their undertaking a research study (Yin 1993:5-6; Kumar 2011:10-11). A research design is regarded as a research management plan which is used by researchers to guide them through their research studies (Bless, *et al.*, 2013:130).

The research design selected depends on: (a) the nature of the research questions, (b) the type and amount of knowledge already available on the research topic, (c) the resources available for conducting research, and (d) data analysis tools (Williams 2003:175). A research design is a: (a) logical research plan that should link the data to be collected and the conclusions to be drawn from the answers to the initial research questions posed in the study, (b) logical sequence that connects the empirical data to a study's initial research question and to its conclusions, and (c) logical plan for getting from here to there, where here may be defined as the initial set of questions to be answered and there as the set of answers to these questions and conclusions (Yin 2014:26 & 28). Punch (2014:114 & 206) concurs with this by stating that a research design is an overall plan for the research study which includes all issues involved in: (a) identifying the research problem, (b) planning and executing a research study project, (c) reporting, and (d) publishing the results.

In order to ensure a detailed, rich research study, researchers require a strong description of the elements of truthfulness in their research reports so as to convince the readers of the truthfulness of the study (Cowie in Croker & Heigham 2009:171). According to Walliman (2006:38), descriptions rely on observation as a means of collecting data. The results of the observation in this study are discussed in section 6.3.2. The textual data that researchers collect from interviews or create in their field notes should richly describe the participants as well as capturing what researchers saw, heard, smelled and touched (Croker & Heigham 2009:9). To describe is similar to drawing a picture of what happened or how things are proceeding or what a situation, person or event is like (Punch 2014:20). This assists the readers to draw their own conclusions from the data presented (Leedy & Ormrod 2014:106). Researchers may describe things without explaining but it is not really possible to explain without describing because description is the first step towards explanation (Punch 2014:19-20). Explanation helps to generate knowledge about the relations between phenomena and their attributes (Alvesson & Sandberg 2013:15). This is affirmed by Ormston and Ritchie in Lewis, Nicholls, Ormston and Ritchie (2014:32) who state that explanatory research is concerned with why phenomena occur and what forces influence their occurrences. Thus, explanation assists researchers to find the reasons phenomena, events and situations, among other things, have come to be what they are. This study explained the attributes of cooperative government and intergovernmental relations. Explanation also assists in the exploration of new ideas and insights or even the generation of new theories if little is known about the phenomenon in question or else there has been limited research on the phenomenon (Croker & Heigham 2009:9).

The reasons for conducting exploratory research studies include: (a) satisfying the researcher's curiosity and desire for a greater understanding of a particular phenomenon, (b) testing the feasibility of understanding a particular phenomena by a more extensive study, (c) developing methods which may be employed in any study, (d) explicating the central concepts and constructs of a study, (e) determining priorities for future research, and (f) formulating new hypotheses about an existing phenomenon. Exploratory studies: (a) provide at least approximate answers to some of the research questions about a

phenomenon or topic, (b) are appropriate for persistent phenomena, and (c) are valuable in social research studies (Babbie & Mouton 2011:79-80). Persistent housing service delivery protests and demonstrations, among other things, also triggered the use of exploratory study in this research. Four tests commonly used in social science research to examine the quality of research designs include: (a) construct validity, (b) internal validity, (c) external validity, and (d) reliability (Yin 2014:26). Some of these tests are discussed in section 4.6. This study employed mixed methodologies using data collection instruments such as sample, documents, questionnaires, interviews, observation, probing and field notes in order to collect rich data. A research instrument is tool that is used to collect the data in a research study (Kumar 2011:24).

Researchers are the paramount data collection instruments because they collect the data from the participants and then interpret the data which has been collected. In most instances, interviews are used in order to collect the requisite data (Lewis & Nicholls in Lewis, *et al.*, 2014:49-55). In this study, the researcher conducted face-to-face interviews using semi-structured questionnaires. Semi-structured questionnaires are well suited to case study research because case study researchers ask predetermined questions and the answers provide tentative answers to these questions but also provide the researcher with an opportunity to probe more deeply (Algozzine & Hancock 2011:45). Four different types of semi-structured questionnaires were used to collect primary data from BLM ward councillors, housing beneficiaries, BLM housing officials and ward 31 (Thulamahashe C) ward committee members – see section 5.2. These questionnaires were divided into three themes. Themes must reflect the purpose of the research study and respond to the questions under investigations (Algozzine & Hancock (2011:67) with each theme playing a role in answering the research questions and achieving the research objectives. SPSS version 23 was used to analyse the data which had been collected. The case study is explained in the next section.

4.2.1 Case study

Case study research in the public administration discipline is conducted in real-life setting and contributes to the finding of concrete solutions to social problems. A CRC survey questionnaire as an accountability tool for the BLM citizens was developed in order to hold housing service delivery agents and government officials accountable for their actions with the aim of improving service delivery, including housing service delivery – see section 7.2.1.1.1. Public administration researchers concentrate on finding solutions to topical issues in the public sector by using research methods that focus on a small number of cases which will yield results that are practicable in everyday life (Van Thiel 2014:4-5 & 86). As public spaces, public administration and management are underpinned by institutionalised processes, procedures and structures in which resources, such as finance, are transformed into services, such as housing, which are then delivered to societies (Mathebula 2014:896-897). A case study entails the detailed examination of a single project or one particular event among other events (Szczerbinski & Wellington 2007:91-92). Garry (2009:115) supports this assertion by stating that a case study involves in-depth research into one case or the smallest set of cases and assists researchers in acquiring rich, detailed understanding of the case or cases in question. Case study research is sometimes referred to as idiographic research because it involves the study of, inter alia, individual cases, events, programmes and/or projects with the aim of acquiring an in-depth understanding of their uniqueness (Leedy & Ormrod 2014:143). The “how” and “why” questions relating to social phenomenon justify the use of a case study, while the “what” questions are used for explanatory purposes. Case study research is based on a desire to understand complex social phenomena and allows researchers to focus on a case and still retain a holistic and real-world perspective (Yin 2014:4).

The case study of an organisation may involve a mixture of methods such as observation, focus group discussions, interviews, visits to different sites and studying written records and documents. The data from these sources allow a picture to be built up about the case

being studied (Szczerbinski & Wellington 2007:92) because the main goal of selecting a case study is to understand the case or cases selected in-depth (Bryman 2012:12). The case may be the individuals, organisations, institutions or objects which have been selected to take part in the research study (Gorard 2013:76). The case study in this research was the BLM. Bryman (2012:49) maintains that a case must be associated with a location. Thulamashe C location (ward 31) is associated with the case (Bushbuckridge Local Municipality). The target population for the study was from the BLM and consisted of all the ward councillors in an effort to determine the effectiveness of the cooperative government and intergovernmental relations structures in providing adequate housing in the BLM. The other three sample groups were also selected from the BLM location. One of the sample groups consisted of housing beneficiaries in order to determine the adequacy of the houses provided, another sample group consisted of the ward committee members in order to determine the degree of public participation of the community in the implementation of the housing project – see Annexure F while the third sample group consisted of the BLM officials responsible for public housing in order to determine the role of each government sphere in providing adequate housing in the BLM.

Case study researchers collect detailed information using a variety of data collection methods or instruments (Creswell 2014:241). The use of various data collection methods or instruments assist researchers in collecting both primary and secondary data that may be triangulated (Flick 2014:184). Triangulation is further discussed in section 4.4.6. Questionnaires, interviews, documents, probing and observation were triangulated in this study to collect both qualitative and quantitative data. Case studies may be used as: (a) tools for critiquing existing practices, (b) attempts to represent and examine typical situations, (c) forums for revealing novel aspects or interpretations of familiar experiences and (d) tools to lead to holistic interpretations or explorations of how local lives are embedded in broader contexts (Compton-Lilly in Graue & Trainor 2013:58). Case study researchers use various types of case studies to conduct their case study research. These case studies may be: (a) particularistic or intrinsic, (b) instrumental, (c) collective or multiple or (d) single (Green 2007:13; Punch 2014:121).

This study used intrinsic case study because the study focused on a particular problem. In addition, the study may be regarded as a single case study because: (a) the interest of the researcher was purely in one particular case itself, (b) no attempt at all was made to generalise from the case studied and (c) it cannot be compared to other cases or claim that it illustrated a problem common to other similar cases because the emphasis was on acquiring a deep understanding of the case itself. This required a primary descriptive approach with a focus on the particular case at hand (Hood in Croker & Heigham 2009:68-69-70). As stated earlier, the BLM constituted the case investigated in this study. Some of the aims of case studies include: (a) description of a phenomenon, (b) explanations of phenomena, and (c) evaluation of data that may identify the strengths and weaknesses of a programme or project and which may then lead to modifications and improvements in the programme or project (Green 2007:10). In this study the data collected was used to evaluate the effectiveness: (a) of the housing project under study in providing adequate houses and (b) of the cooperative government and intergovernmental relations structures in improving housing service delivery in the BLM. It is not possible to generalise the results of a case study to other cases but they (results) can be generalised to the target population (Garry 2009:115).

The findings from a case study may also not be generalised in probabilistic sense because conclusions from the case in question may not be applied to another case (for example, another local municipality in the Enhlazeni district municipality) due to the fact that no two cases are identical. Nevertheless, the lessons learnt in one case may be applied to another population (Rallis & Rossman 2012:103-104). Thus, the lessons learnt from this study could be used in another ward of the BLM because all the ward councillors of the BLM constituted the target population of this study. Generalisation refers to the potential for drawing inferences from a single study and applying these inferences to wider populations and/or contexts or social theory. This is sometimes referred to as the transferability or external validity of research findings (Morrell, Ormston & Ritchie in Lewis *et al.* 2014:365). Transferability or external validity simply implies checking

whether the findings do apply to other contexts, populations and social theories (Bryman 2012:49).

According to Bless, *et al.*, (2013:237), transferability refers to the extent to which the findings from one study apply to other or similar situations. Transferability may be compared to external validity. This requires case study researchers to provide detailed descriptions of the context in which the data were collected and sometimes even of the researcher's relationship with the participants so as to enable other researchers to compare and assess the similarities of the study in question to similar situations. The results of this study were contextualised to all housing projects under the jurisdiction of the BLM and recommendations were made for further studies. The three layers of case studies include: (a) individual participant case studies at project sites and combined to make up project site case study (b) project site case studies combined to make up state case study and (c) state programmes combined to make a national programme case study. These layers were relevant to this study because the Construction of Youth Houses 50 Project, project ID BLMHL005 is located at the BLM site and it is a multi-stakeholder project (MSP) in a sense that the three spheres of government were involved in the implementation of this project – see section 1.2.

In this study, cooperative government and intergovernmental relations were used as the units of analysis with the provision of housing as the independent variable and adequate housing as the dependent variable because an independent variable brings change in a situation while the dependent variable is used to determine the outcome or change brought by the introduction of the independent variable (Kumar 2011:66). In addition, unit of analysis refers to what the researcher is interested in investigating (Babbie & Mouton 2011:84). Thus, in a cause-effect relationship, the independent variable is the cause variable while the dependent variable is the effect variable (Punch 2014:224). If there are no causes of something, then there will be no outcome resulting from both the variables (independent and dependent). Bless, *et al.*, (2013:72-73) define a variable as something

that changes. This change may be measured in numbers in quantitative research, described in words in qualitative research and expressed in numbers and words in mixed methodologies. It should be noted that, without a house which has been provided, it would not be possible to measure the adequacy of such a house. A house as one of the basic services was chosen for the purposes of this study because good governance is one of the principles of the housing vision (Maoba, *et al.*, 2013:161).

4.3 Research methodology

Social science researchers: (a) mix forms of inquiry, (b) extract ideas from ‘here’ and hunches from “there”, (c) search for evidence and (d) put together the ideas, hunches and evidence with the aim of selecting the research methodologies suited to their research studies. The reasons of employing a mixed methodologies in this study included the following: (a) collecting both qualitative and quantitative data, (b) qualitative and quantitative research methodologies complement each other (c) qualitative research uses words while quantitative research uses numbers which assist in the interpretation of the data which has been analysed (Garry 2009:81 & 83) (d) mixed methodologies elaborate each other (Bless, *et al.*, 2013:16) and (e) mixed methodologies incorporate both qualitative and quantitative data (Cresswell 2014:3). Semi-structured questionnaires containing both open and closed questions were used to collect the requisite data.

A combination of open and closed questions yields the best results in an interview (Bone & Griffin 2014:269-270). Research methodology: (a) directs the entire research process, (b) controls the study, (c) dictates how the data is acquired, (d) arranges the data in logical relationships, (e) sets up an approach for refining and synthesising the data and (f) suggests that the interpretations of the data collected may yield one or more conclusions that may lead to an expansion of existing knowledge (Leedy & Ormrod 2014:5). Some of the primary functions of the research methodology selected include dictating and controlling

the data acquisition and also the analysis of the data in order to extract meaning by interpreting the data which has been analysed (Bone & Griffin 2014:269-270). Social science researchers interact with participants in order to interpret their words and make meanings of their lived experiences (Bevir 2011: 51 & 54). Interpretation and meaning making is associated with the qualitative research methodology – see discussion in the next section.

4.3.1 Qualitative research methodology

Semi-structured questionnaires were used to collect data required in this study. The answers to the open-ended questions provided qualitative data. Qualitative data emanates from social relations through talking or interviewing and takes the form of words (Flick 2014:11 & 43). Open-ended questions were asked because, as stated by Bone and Griffin (2014:269), such questions: (a) invite a range of possible responses, (b) are not restrictive, (c) contain no answers, (d) allow the participants to offer information voluntarily and (e) encourage the participants to express ideas, knowledge and experiences in interesting ways. Qualitative researchers use open-ended questions so as to allow the participants with freedom to answering the questions posed in their own words or style (Walliman 2006:90; Treadwell 2011:27). The participants were interviewed in their own languages which are Shangaan, Northern Sotho and IsiSwati. Due to the fact that the researcher speaks these languages fluently, the interview questions were translated into these languages during face-to-face interviews depending on the language spoken by the participant and the researcher captured the responses in English. According to Patel (2013:63), open questions: (a) assist participants to answer the questions posed adequately, (b) are preferred for complex issues, (c) may be used if there would be too many potential answer categories which may confuse the participants and (d) allow a greater opportunity for creativity or self-expression on the part of the participants. In addition, open questions give the participants the freedom to answer in a range of ways and generate ideas as well as participants to mention matters about which they are worried or excited (Bone & Griffin

2014:223). The housing beneficiaries interviewed in this study were worried about the housing defects which had been identified and also satisfied about the housing services which had been provided, for example, water, electricity and sanitation – see section 6.3.1.

Open-ended questions merely enquire whether there is a relationship between the variables in questions (Treadwell 2011:39). There are no predetermined answers to open questions (Birmingham & Wilkinson 2003:11) and the participants are free to elaborate on other related issues (Walliman 2006:90). This provides qualitative researchers with sufficient space in which to ask the probing questions – see Annexure F which assist the participants to elaborate on an idea or feeling while creating the possibility of more discussion on a topic (Bone & Griffin 2014:223). Probing is briefly discussed in section 4.4.3.3.1. As regards the probing questions asked in this study, field notes were used to capture the answers – see section 6.3.1 and Annexure F. According to Mills and Kotecha in Lewis, *et al.*, (2014:267), field notes are used to capture observed data and also contain comparable, detailed descriptions of settings, activities and interactions as well as the researcher's interpretation of what happened or occurred. The types of field notes include: (a) mental field notes which are used if the researchers do not want to be seen taking notes, (b) jotted or scratched field notes which are very brief and may be written out fully later and (c) full field notes which are detailed notes, made as soon as possible and written up at the end of the day or sooner if possible). Full field notes often comprise the main data source (Bryman 2012:450). In this study, the researcher used full field notes to capture the new data produced by probing, observation and some of the answers to the open-ended questions in order to supplement the qualitative data collected and strengthen validity, reliability and trustworthiness of the study findings/results – see Annexure F.

The qualitative data which had been collected were coded in order for the SPSS version 23 to produce quality data. The coding of responses implies (a) reducing the responses to numbers and (b) making data easier for the researchers to handle (Birmingham & Wilkinson 2003:8). Thus, coding implies transforming information into numbers in order

to facilitate the data analysis, particularly if this is going to be carried out by computer (Bryman 2012:162). In this study, coding served the following two purposes, namely, (a) allocating numbers to the qualitative data which had been collected so as to ensure that the SPSS 23 produced quality results and (b) grouped the data collected into themes. Coding is further discussed in section 4.4.3.3.2. The qualitative research methodology assists researchers to investigate a problem from the participants' point of view, thus allowing the researchers to determine what the participants think and feel about a particular issue. According to Bless, *et al.*, (2013:16), this enables the researcher to interpret the participants' thoughts and feelings about the problem being investigated. Furthermore, a case study is an excellent qualitative research method because: (a) the factors and relationships of a phenomenon may be directly observed, (b) in-depth material related to a programme or project may be gathered, and (c) data may be corroborated with questionnaires, interviews, observations and document analysis (Green 2007:11). This study used questionnaires, interviews, probing, observations and documents to collect both qualitative and quantitative data in order to corroborate the data which had been collected. The participants answered the questions posed in their own words. Data from interviews, focus group discussions and responses to the open-ended questions in questionnaires usually takes the form of words (Bless, *et al.*, 2013:340).

Words: (a) reduce the world's complexity by assisting people to classify objects and events into categories and label those categories in terms of specific words that assist people to understand their experiences, (b) allow people to make abstractions of their environments, (c) enhance the power of thought by making connections and establishing interrelationships between ideas, (d) facilitate generalisation and inference drawing in a new situation because when, learning new concept, people tend to associate certain characteristics with the new concept and draw on existing knowledge of associated characteristics to make assumptions and inferences and (e) played a vital role in the development of the languages which may be regarded as humankind's greatest achievement because languages allow people to communicate with one another and enable them to think effectively (Leedy & Ormrod 2014:11-12). In view of this, the participants

were interviewed in their own languages which are Shangaan, Northern Sotho and IsiSwati as stated above. This study focused on cooperative government and intergovernmental relations. Bevir (2011:51 & 54) is of the view that interpretive approaches to government are about actions, practices and social life because interpretive theories believe that meanings produce actions. In most instances, qualitative researchers collect data in the field at the site where the participants experience/d the issue or problem under study (Creswell 2014:185). In this study the researcher collected the data from the participants (housing beneficiaries, housing officials of the BLM, ward committee members and ward councillors) at their locations or sites. The data which was collected and analysed assisted the researcher to answer the research questions and realise the research objectives. The answers given are discussed in section 5.4. Quantitative research methodology is discussed below.

4.3.2 Quantitative research methodology

In this study, the semi-structured questionnaires also contained closed questions. Answers of these questions provided the quantitative data. Closed questions were asked because: (a) they provide standardised answers that may be compared from person to person, (b) they save time and money because there is little room for probing, (c) structured questions may be distributed to the participants for self-administration, (d) they provide answers that are relatively complete, (e) they limit the answers and it is not possible to qualify the answers because participants choose the answers from a choice of given answers, (f) they invite brief, focused answers and allow interviewer to maintain tight control over the direction of the conversation and they are useful, (g) they may be answered easily and quickly, (h) they result in shorter answers to process, (i) they may be answered with a simple yes or no and (j) they are commonly used to collect data from a sample that represents the total population (Walliman 2006:92; Morse & Niehaus 2009:119 & 122; Patel 2013:60; Bone & Griffin 2014:223).

As explained in section 5.2, face-to-face interviews were conducted and the participants answered the posed closed questions by choosing the correct answers from the answers provided. Quantitative data is analysed using statistical procedures and the findings may be generalised from the small sample to the entire population (Bless, *et al.*, 2013:16). Thus, the quantitative results of this study may be generalised to other wards in the BLM – see section 4.4.1. The quantitative data collected was analysed using SPSS version 23. Quantitative research methodology primarily involves collecting numerical data which is then analysed using statistical methods (Croker & Heigham 2009:4-5). This is affirmed by Creswell and Ivankova in Croker and Heigham (2009:137) who highlight that quantitative researchers collect numerical data.

4.3.3 Mixed research methodologies

The study used mixed methodologies because, as stated by Creswell and Ivankova in Croker and Heigham (2009:136), mixed methodologies may be used in a case study in order to triangulate the data collected. Mixed methodologies also entail the use of multiple data collection instruments in the same study. However, it is not possible for these instruments to be considered to be mixed data collection instruments or methods because they do not combine the qualitative and quantitative data collected but compensate for each other. Open-ended responses produce qualitative data while closed responses produce quantitative data (Mertens in Graue and Trainor 2013:139). Quantitative and qualitative approaches involve similar processes which include: (a) identifying a research problem, (b) reviewing relevant literature and (c) collecting and analysing the requisite data (Leedy & Ormrod 2014:97). In view of the fact that researchers are able to transform their ideas into formulas or numbers in order to sell these ideas to other people through their interpretations (Freshwater, 2014:328), mixed methodologies are ideal in order to provide a more complete picture of a particular phenomenon as compared to the picture which either approach would produce on its own (Leedy & Ormrod 2014:100). This study used

the responses for both open-ended and closed questions to complement the data which had been collected.

According to Croker and Heigham (2009:5), the word mixed, simply means that researchers using mixed research methodologies employ both qualitative and quantitative research methodologies according to the aims and context of their research studies and the nature of their research questions. Mixed methods researchers combine the advantages of the quantitative and qualitative methodologies and avoid their disadvantages (Bless, *et al.*, 2013:58). Morse and Niehaus (2009:122) are of the view that qualitative research compensates for the inadequacies in meaning or detail that arise from quantitative research. Bless, *et al.*, (2013:184) agree, stating that non-numerical data (qualitative) either assists in the interpretation of numerical data (quantitative) or describes new aspects of certain phenomena. Mixed method research: (a) uses both qualitative and quantitative methodologies, (b) enhances validity and (c) is used when the phenomenon under study is deemed to be complex and beyond the reach of a single method (Morse & Niehaus 2009:14-15). When mixed methodologies are used, each methodology offers a different way of knowing about the world (Ormston & Ritchie in Lewis, *et al.*, 2014:45). This view is supported by Flick (2014:13) who states that the limitations of quantitative approaches have always constituted starting point of formulating more general reasons why qualitative research should be used. Quantitative questions require quantitative methodology and instruments to answer them while qualitative questions are answered by qualitative methodology and instruments (Punch 2014:23).

4.4 Research data collection instruments

Data is regarded as the basic units or building blocks of information which are used to answer research questions (Rallis & Rossman 2012:3-4). The main objective of this study

was to answer the questions contained in section 1.5 of the study using the data collection instruments discussed below. Data is further discussed in section 4.5.

4.4 1 Sample

A sample is regarded as a data collection tool in this study because, as stated by Babbie and Mouton (2011:164), it assists researchers to observe the sampled participants. The researcher observed the sampled participants, collected observation data and wrote observational results – see section 6.3 and Annexure F. The types of sampling used in this study included purposeful, systematic and probability sampling. Purposive sampling was selected because, as stated by Hall and Rousell (2014:54), it is used mainly in qualitative studies and this study also employed qualitative research methodology. A sample was purposefully drawn from the beneficiaries of the housing project. Every research study is purposeful and, as stated by Morse and Niehaus (2009:41), it is a process of finding something out. Thirty five (35) beneficiaries were interviewed and the results were generalized to the whole population of 50 beneficiaries of the housing project under study. Sampling involves making a decision about who should be interviewed. This is attested to by Treadwell (2011:107) who states that sampling refers to the selection of individual units for study purposes.

According to Leedy and Ormrod (2014:154), sampling is the process of selecting a sample while the identification of a sample depends on the research questions. Szczerbinski and Wellington (2007:63) define a sample as the smallest part of anything which is intended to stand for or represent the whole population in question. Treadwell (2011:109) regards a sample as the segment of a population and is presumed to represent that population. Bless, *et al.*, (2013:22) are of the view that researchers should study a sample because it is impossible to study a whole population and, thus, the participants in a sample must carry most of the population's characteristics. In other words, a sample is used to estimate a

population (Brownlow, Hinton & McMurray 2014:113). Punch (2014:247) agrees by stating that a sample is a smaller group that is drawn from a larger population. This smaller group is actually studied, data is collected from it and analysed and the analysed data from the sample and the inferences are then generalised to the target population. All the ward councillors of the BLM formed the target population of this study and, thus, the results may be generalised to all thirty eight (38) wards because each ward councillor represented a ward. According to Treadwell (2011:109), purposive sampling is also known as judgemental sampling because it is based on the notion that specific participants from the target population would definitely meet the researcher's specific sampling criteria. Purposive sampling: (a) is often used specifically in studies of any social issues or human behaviour and (b) allows researchers to decide on the purpose they want the sampled participants to serve in their studies. Purpose samples are widely used in (a) pilot studies, (b) intensive case studies, (c) critical case studies, (d) hard-to-find population studies and (e) studies of any phenomenon where no other method of sampling is available (Bernard 2013:164-166). According to Bless, *et al.*, (2013:172), purposive or judgemental sampling is based on the researcher's judgement regarding the characteristics of either a representative sample or typical units of the target population. Purposive sampling was used to select the target population (ward councillors) for this study.

A good research study: (a) has a clearly defined purpose, (b) coherence between the research objectives, research questions and methods or approaches proposed and (c) generates meaningful relevant data (Lewis & Nicholls in Lewis, *et al.*, 2014:48). Daniel (2012:214) is of the view that mixed methodology researchers may employ mixed sampling methods which include systematic sampling. Systematic sampling was used in this study to select the participants from the population of the housing beneficiaries. The first participant in systematic sampling is selected randomly and the other participants are then selected based on every *n*th case (Blaxter, *et al.*, 2010:170). Systematic sampling, as a mixed sampling design, possesses the characteristics of both the random sampling commonly used in quantitative research studies and the non-random sampling widely employed in qualitative research studies (Kumar 2011:8). Systematic sampling refers to

the selection of elements at equal intervals and starting with a randomly selected element on the population list (Bless, *et al.* 2013:167). Randomisation entails sampling of participants in such a way that each participant has an equal chance of being selected (Rallis & Rossman 2012:9). In random sampling every member of the population has the same chance as all the other members of being selected so that generalising the findings from the sample to the population is no problem (Flick 2014:168). The use of random sampling approximates the characteristics of the total population (Leedy & Ormrod 2014:213). Systematic sampling was used to select the housing beneficiaries sample in this study.

Twenty five (25) housing beneficiaries were initially sampled to participate in the study because, according the Bushbuckridge Local Municipality (2012:127), the population of the housing project totalled fifty (50) beneficiaries. Two (2) was used as the nth case or interval. As a result of accessibility of the beneficiaries resulting from the close proximity of their allocated houses, thirty five (35) beneficiaries were interviewed. Another semi-structured questionnaire (from the four used semi-structured questionnaire) was used to collect primary data from officials of the Bushbuckridge Local Municipality who were selected using probability sampling. Probability sampling was used in this study because, as stated by (Kumar 2011:199), this type of sampling provides an equal and independent chance for every participant in the population to be included in the sample. In the main, government institutions in the three government spheres have one housing directorate consisting of less than ten officials. This, in fact, had been the experience of the researcher as a government official.

For the purposes of this study, the people who took part in the study were called participants, not respondents as referred to by several research scholars. The reason for this was, as stated by Rallis and Rossman (2012:5), historically individuals who took part in research studies were referred to as subjects, respondents and informants but qualitative researchers use the term participant as an inclusive, democratic term. In addition,

participants are part of research studies and, in most instances, they assist researchers to discover new information which may then be used to probe more deeply or which results in new research studies – see Annexure F. Researchers who employ mixed methodologies in their studies make sampling decisions before they commence with their studies (Hall & Rousell 2014:55-56). This is because these researchers had formulated research questions or identified a research problem or need before deciding on their research topics. Kumar (2011:193) view sampling as a process of selecting a few participants from a larger group which is known as sampling population. Stopher (2012:7) is in agreement with this statement and states that a sample is, in fact, a subset of the population.

Probability sampling was also employed in this study to select participants from the Bushbuckridge Local Municipality so as to provide each member of the population with an equal and independent chance of being in the sample. Probability sampling implies that every person in the population has the potential to be represented in the sample (Leedy & Ormrod 2014:213). The aim of probability sampling is to keep the sampling error to a minimum because the findings derived from the sample may be generalised to the population (Bryman 2012:187 & 197). Probability sampling techniques include: (a) simple random sampling which implies that every member of the population has an equal chance of being selected, (b) stratified random sampling which implies different layers (strata) of the target population, (c) proportional stratified sampling which implies the selection of an equal number of participants, (d) cluster sampling used for a dispersed population and (e) systematic sampling which entails selecting individuals according to a predetermined sequence (Gorard 2013:77-78, Leedy & Ormrod 2014:217-218).

Other types of probability sampling include: (a) stratified sampling which involves samples from different strata of the population, (b) quota sampling which involves only participants with specific characteristics within the population, for example, male and female medical doctors, (c) convenience or accidental sampling which involves participants who are selected on the basis of the convenience of the researcher and (d)

simple random sampling which involves an equal chance for each member of the population to be randomly selected (Rivera & Rivera 2007:65 & 67). According to Bless, *et al.*, (2013:167), simple random sampling refers to the sampling procedure that provides each element in the population with an equal opportunity of being selected. Seidman (2013:40) is of the view that researchers should describe in their studies how the data collected will be analysed. In this study, the Statistical Package for Social Sciences software version 23 was used to analyse the data which had been collected. Although SPSS is regarded as a statistical tool by several scholars, including scholars in South Africa (SPSS South Africa 2010:1), qualitative researchers are able to code the qualitative data they have collected to produce quality results using this software. As stated by Kumar (2011:256) coding refers to the way in which researchers wish to communicate their findings about a variable to their readers. Gerring (2012:221) states that coding involves assigning numerical codes to items, groups and responses, among other things, and replacing characteristics such as age or sex by numbers in order to simplify and standardise the data for analytical purposes.

The coded data were grouped into themes. Coding in the context of this study implied allocating numbers to the responses of the qualitative data collected to ensure that the SPSS 23 produced quality qualitative results. Coding is discussed further in section 4.4.3.3.2. Green (2007:36) maintains that, when sampling politically important cases, it is essential that researchers are aware of and sensitive to the political influences which may be involved in such a case study. Treadwell (2011:112) is of the view that probability sampling permits researchers to make statistical generalisations from their results and also allows them to make generalisations to large audiences in political communications. This study focused on the cooperative government and intergovernmental relations which are constitutional and which are aimed at improving the living conditions of citizens through the delivery of adequate housing. Communicating the results of this study rested with the Municipal Manager of the Bushbuckridge Local Municipality because municipal managers are responsible for the daily administration of service delivery projects – see section 1.2. According to Williams (2003:74), sampling tends to be associated with

quantitative research although it is also an important approach in qualitative research. Quantitative questions have pre-determined answers which are selected by a particular group of people known to the researcher. On the other hand, qualitative questions do not have pre-determined answers and the researcher may be led by some of the responses given by participants to determine a sample population. For example, if a researcher intends to study the behaviour of gang members and he/she goes to the gang members' meeting place, the researcher does not yet have a sample. It will only be possible for the researcher to select a sample after he/she has held informal discussions with the people present at the meeting place and without even knowing if they are gang members or not.

4.4.2 Questionnaires

Semi-structured questionnaires containing both closed and open-ended questions were used in order to conduct the face-to-face interviews. Three commonly used research questions include: (a) exploratory questions that focus on a situation or change, (b) descriptive questions which are aimed at a description of a certain situation, state or process and (c) explanatory questions which focus on relations in order to prove that it is not just a state of affairs that is being investigated (Flick 2014:153). In this study, these three types of research questions were employed in order to explore, describe and explain cooperative government and intergovernmental relations as the units of analysis in the study. According to Williams (2003:105), questionnaires must not contain questions only but also instructions to the participants and references to ethical issues. The researcher in this study took this advice. The instructions to participants and relevant ethical issues were clearly stated on both the semi-structured questionnaires that the researcher used to collect the requisite data and on the informed consent forms (Annexures D and E). Richards in Croker and Heigham (2009:186) advises that researchers should start with open questions because, if they begin with closed questions, the participants may become accustomed to short questions and it may become difficult for them to answer long questions. This

procedure may also assist in the building of good relationships between researchers and participants.

Questionnaires are used to collect vast quantities of data from various participants on a broad range of issues (Birmingham & Wilkinson 2003:8 & 33). Questionnaires contain research questions that guide research studies and engage the readers. (Green 2007:38; Szczerbinski & Wellington 2007:143). They contain written questions which must be short, precise, cover necessary details and address one piece of information at a time (Garry 2009:174). Questionnaires: (a) should be carefully planned, constructed and distributed in order to ensure useful data is collected, (b) should be as brief as possible because time is a precious commodity for many people, (c) solicit only information that is essential for the research study, and (d) must be simple to enable the participants to read and respond to them (Leedy & Ormrod 2014: 197 & 203). Szczerbinski and Wellington (2007:97) are of the view that a questionnaire should begin with a straightforward closed question and leaving the open-ended questions to the end because open-ended questions often lead to the expression of opinions and may, thus, be used by the participants to express their lived experiences in their own words and without a limit.

Research questions should be defined according to: (a) the researcher's personal interest in the topic, (b) the feasibility of conducting the study, (c) the rewards of the study and (d) the tangible and intangible benefits of completing of the study (Treadwell 2011:17). Leedy and Ormrod (2014:200) concur with this view, stating that research and interview questions should be carefully planned and precisely worded to yield the type of data the researcher requires to answer the research questions. In addition, it must be noted that, different interview questions may yield different types of data. Thus, research questions must be: (a) easy for the participants to answer, (b) asked in a logical order, (c) clear, (d) unambiguous, (e) focused but not too narrow, (f) informed and connected to existing research theory, (g) capable of being researched through the data collection, (h) relevant and useful, (i) have the potential to make an original contributions or to fill gaps, (j)

relevant to the study goals, (k) become more concrete, more focused and more narrow and be revised during the course of the research study, (l) be able to force the researchers to be more explicit about what they are researching, (m) end with a question mark (n) force the researchers to consider the most basic research issues i.e. what is interesting to know and (o) tools for eliciting responses by providing answers that drive the inquiry (Morse & Niehaus 2009:121; Bryman 2012:9-10; Patel 2013:46; Trainor in Graue and Trainor 2013:132; Flick 2014:113; Lewis & Nicholls in Lewis, *et al* 2014:49-50; Punch 2014:7). The researcher met all of the above mentioned requirements regarding the questions in the semi-structured questionnaires.

However, it should be noted that research questions: (a) may stem from a number of different sources, (b) may simply handed to researchers as a contract if the research study is a funded and (c) may stem from current or future concerns regarding policy implementation or practices (Gorard 2013:26). In most instances, sub research questions are formulated to provide greater clarification of the research design. Research questions: are: (a) the key building blocks of the research design, (b) the core component in all theory development, (c) assumed to have been formulated in such a way that they may be investigated scientifically and answered empirically, (d) assumed to come from somewhere, (e) constructed and formulated within a specific period of time and (f) always constructed and formulated to conceptualise and determine the subject matter in a particular way (Alvesson & Sandberg 2013:13-14; Lewis & Nicholls in Lewis *et al.* 2014:49-51). According to Punch (2014:74), a well stated research question indicates the data required to answer the question. A well asked research question is already half-answered while the way in which such a research question is asked indicates the type of data that is required to answer the question. However, good research questions do not just exist and they need to be created and formulated by the researchers or research agencies if the research study is funded by that particular agency (Alvesson & Sandberg 2013:1). In this study, the researcher formulated questions that accurately answered the research questions and achieved the research objectives.

The purposes of a study and the research questions do not provide any direction at all about sampling and they will probably require further development because the data that is aimed at answering the research questions is provided by the participants (Punch 2014:162). Poorly formulated research questions lead to poor research results while unclear questions lead to uncertainty as regards both what the research study is about and the purpose for which the data is being collected (Bryman 2012:10). Whether or not empirical activities produce research answers depends on the formulation of the research questions (Flick 2014:145). It is recommended that researchers formulate questions that communicate exactly what they (researchers) want to know and they must avoid terms that participants may not understand. In addition, each research question should have a clear purpose (Leedy & Ormrod 2014:203). The three commonly used questionnaires are: (a) structured questionnaires which contain closed questions with predetermined answers, (b) unstructured questionnaires which contain open-ended questions and (c) semi-structured which contain both close and open-ended questions. The questions are presented in a logical order and are posed verbally to the participants during face-to-face interviews. Open-ended research questions do not have pre-determined answers (Morse & Niehaus 2009:92 & 128).

4.4.3 Interviews

The study used face-to-face interviews using semi-structured questionnaires to collect data from the participants. It was decided to use interviews because they are a common occurrence in social life and allow the researchers to inform the participants of the rationale for the study (Bryman 2012:217). In addition, interviews allow researchers to interact with the people they are studying (Solomon & Theiss 2013:26). In this study, the researcher presented the rationale for the study verbally to the participants and also indicated it in the semi-structured questionnaires which were employed to collect the data. Interviews are insightful and provide explanation of personal views such as: (a) perceptions, (b) attitudes and (c) meanings and are commonly found in case study research. Case study researchers

often use interviews as an important source of evidence because interviews also enable researchers to ask conversational questions (Yin 2014:106 & 110). Field notes may also be used to record the conversational questions and their answers – see Annexure F. An interview is a discussion with someone and with the aim of obtaining information that may be: (a) facts, (b) opinions, (c) attitudes or (d) any combination of such facts, opinions & attitudes. Interviews also assist in clarifying survey information and other data (Garry 2009:54 & 160). Interviews involve direct personal contact with the participants who are asked questions to which the answers are then used to answer the research questions (Rallis & Rossman 2012:179). Thus, the participants interact with the researcher during face-to-face interviews.

According to Legard, Lewis, Keegan, Nicholls, Ward and Yeo in Lewis, *et al.*, (2014:180), an interview for research purposes may be seen as collaboration because the researchers and the participants: (a) interact in order to shape the forms and features of the data to be gathered and (b) share their understanding of the issue being discussed during the interview processes. The researchers must convince the participants that the research study is legitimate to secure their cooperation (Patel 2013:56). The research ethical policy of the University of South Africa (Unisa) obliged the researcher to produce an ethical clearance certificate as a proof that her research study was legitimate – see Annexure C for the ethical clearance certificate. The participants were given a copy of the ethical clearance certificate as proof of the legitimacy of this research study before they were interviewed.

During interviews, researchers must: (a) never assume but, instead, turn the assumption into a question, (b) refrain from commenting on an answer but encourage the participants to describe their own experiences and (c) refrain from summarising the participants' answers but check whether they have understood the questions posed by formulating a question which makes it easy for the participants to provide further clarification (Legard, *et al.*, in Lewis *et al.* 2014:198-199). Interviews are prominent data collection strategies which are used in both quantitative and qualitative research studies (Bryman 2012:209).

The type of interview should be aligned with the questions, purposes and designs of the research study in question. Interviews are flexible and may be adopted to suit a wide variety of research situations (Punch 2014:145 & 163). The word interview originates from the French word *entrevue* which means to see one another or meet. The interview is fundamental and widely researched technique which enables researchers to obtain information they could not gather by observation alone (Berger 2000:111). The three commonly used interviews are structured, semi-structured and unstructured interviews.

4.4.3.1 Structured interviews

The participants in the study were also asked structured (closed) questions which were included in the semi-structured questionnaires so as to enable the researcher to collect quantitative data. Closed questions: (a) save time and money because there is little room for probing, (b) provide for the distribution of structured questionnaires which the participants may self-administer, and (c) make it impossible to qualify answers because the possible answers are limited and one possible answer must be selected from two or more possible answers (Walliman 2006:92; Bryman 2012:211). On the other hand, closed research questions are standardised and have predetermined answers (Birmingham & Wilkinson 2003:45; Walliman 2006:92; Garry 2009:162; Punch 2014:146). Structured interviews are usually employed in quantitative research studies with each participant being asked the exact same questions (Bryman 2012:219). Green (2007:54) is of the view that structured interview questions are, in fact, often follow-up questions arising from survey results. A survey is a quantitative research strategy that provides data about the participants. Researchers use structured questionnaires containing closed research questions to conduct structured interviews. Structured interviews result in data in its most controlled form (Richards in Croker & Heigham 2009:184).

4.4.3.2 Unstructured interviews

The study also used open-ended questions which were contained in the semi-structured questionnaires to conduct unstructured interviews. Some of the questions posed were not pre-planned and standardised but were general questions. The main objective of conducting unstructured interviews is to gain an understanding of the beliefs and values of participants while the role of the researcher is to stimulate the discussion by making comments and even write questions for probing purposes (Garry 2009:170) – see Annexure F. This type of interview tends to generate relevant information (Green 2007:54). Unstructured interviews are used across the social sciences and assist social researchers in the development of questionnaires containing open-ended questions (Bernard 2013:181).

Unstructured interviews are flexible and guided by participants (Birmingham & Wilkinson 2003:45; Walliman 2006:92). Garry (2009:163) regards unstructured interviews as a conversation between the researchers and participants with the researchers having no pre-determined format for the interviews in most instances but rather a topic on which they focus. Unstructured interviews contain grand tour questions because the participants are invited to describe their lived experiences with a research question sometimes being used to give them the freedom to provide the necessary data (Morse & Niehaus 2009:125). The questions used in unstructured interviews are not pre-planned and standardised but are, instead, general questions. The wording of the questions depends on the direction the interview takes (Punch 2014:145). In view of the fact that both probing and coding are common in both semi-structured and unstructured interviews and the responses in semi-structured and unstructured interviews, the researcher deemed it fit to briefly discuss these two concepts and, hence, probing and coding are discussed in sections 4.4.3.3.1 and 4.4.3.3.2 respectively.

4.4.3.3 Semi-structured interviews

Semi-structured interviews were conducted during this study because, as stated by Garry (2009:164), they cover various issues and are usually used in small scale research studies. They are also used if the researchers are well acquainted with the topic being studied (Morse & Niehaus 2009:92). As a government official, the researcher was aware of some of the challenges that hamper service delivery in South Africa. Furthermore, semi-structured interviews assist researchers: (a) to judge quality responses, (b) notice if questions have not been properly understood and (c) encourage the participants to provide full answers to the questions posed (Walliman 2006:92). They also provide opportunities for a detailed investigation of each participant's individual perspectives (Lewis & Nicholls in Lewis, *et al.*, 2014:49-56). The face-to-face, semi-structured interviews conducted and the open-ended questions: (a) assisted the participants to provide adequate answers to the questions posed, (b) assisted the researcher to simplify complex issues related by the participants by probing, (c) assisted the participants to provide many answers to each question posed, (d) provided an opportunity for creativity or self-expression by the participants and (e) provided the participants the freedom to answer the questions in their own words. Open-ended questions are not based on pre-determined answers and are well suited to exploratory studies, case studies and studies based on the qualitative analysis of data (Birmingham & Wilkinson 2003:11; Bless, *et al.*, 2013:211). In most instances, the researchers know what questions should be asked when they conduct semi-structured interviews while such provide the researchers with sufficient flexibility to probe certain aspects of the research topic in depth (Richards in Croker & Heigham 2009:185-186) – see Annexure F for probed questions.

4.4.3.3.1 Probing

The open-ended questions posed to the participants provided the researcher with an opportunity for probing. Probes are responsive follow-up questions which elicit more: (a) information, (b) description, (c) explanation and (d) exploration. Probing assists researchers to: (a) expand or elaborate further on something which has been said, (b) obtain further descriptions of a phenomenon or the experience of the phenomenon, (c) explain why people act, think, feel and react in the way they do, (d) understand the participants' underlying values, views or experience and the meanings they make, (e) clarify terms or language and (f) challenge inconsistencies from the participants to avoid contradictions (Legard, *et al.*, in Lewis, *et al.*, 2014:194-195). In addition, probing stimulates the participants to provide more information than may otherwise have been the case. The probing results are discussed in section 6.3.1 – see Annexure F.

Types of probing include: (a) silent, (b) echo, (c) tell-me-more, (d) the long question, (e) utter, (f) by leading and (g) phased-assertion (Bernard 2013:186-188). The researcher used silent probing by observing and also the tell-me-more probing to collect data which had been covered in the semi-structured questionnaires. As stated in section 4.3.1, the researcher also used field notes. However, Bryman (2012:223 & 228) is of the opinion that probing is extremely rare and may be problematic when researchers conduct structured interviews. According to Bryman (2012:223 & 228), probing during structured interviews is initiated by the participants: (a) requesting assistance with their answers if they are unsure of these answers, (b) seeking clarity if they do not understand the questions, (c) asking for further questions or information if they are having problems with understanding the questions or providing adequate answers and (d) seeking clarity from the researcher if the researcher alerts the participants that the answers provided are incomplete. Thus, the responses resulting from probing during structured interviews often add little value to the research study because the participants have to choose possible answers from the pre-determined answers provided in the structured questionnaires. The closed questions used

in this study required pre-determined answers. In addition, the semi-structured questionnaires were distributed to the participants in advance before the scheduled interviews were conducted so as to enable the participants to familiarise themselves with the contents of these questionnaires and for ethical reasons.

4.4.3.3.2 Coding

The coding used in this study served two purposes, namely: (a) allocating numbers to the qualitative data so that the SPSS 23 produced qualitative results of a high standard and (b) categorising the data into themes. It should be noted that these themes were also used to group the research questions contained in the semi-structured questionnaires which were used to collect the requisite data. Coding: (a) entails reducing the responses to numbers and simplifying the data for the researchers, (b) is regarded as an aspect of data analysis because coding enables researchers to make sense of the data, (c) entails the clustering or grouping together of similar ideas, phenomena, people or events and labelling them, (d) assists researchers to become better acquainted with the data, (e) assists researchers to organise their thinking, (f) helps to make the storage and retrieval of data easier and (g) assists researchers to find similar patterns and connections across the data (Birmingham & Wilkinson 2003; Rallis & Rossman in Croker & Heigham 2009:281). This is affirmed by Punch (2014:87 & 173) who states that coding is the process of putting tags, names or labels on pieces of the data and that codes are, in fact, names, tags and labels.

Unstructured interviews produce unstructured, qualitative data which requires processing to prepare them for analysis because they are constructed by the researcher and are in text format. According to Bless, *et al.*, (2013:343-344), coding involves : (a) the breaking up of text into fragments which share some common characteristics, (b) breaking up original transcripts and classifying all the fragments into various categories, (c) adding new codes or refining the existing codes if more data is added to the data set, (d) the development of

themes and patterns within the data, (e) defining the titles of themes and describing the type of data to be categorised under each theme and (f) organising the codes hierarchically starting with high level codes (which are broad) and breaking them down into lower level codes of a narrower scope. Flick (2014:44-45) regards coding as: (a) the analysing and labelling of the statements from interviews by assigning them (statements) a category, (b) categorising parts of the data by grouping bits of related data, (c) grouping similar data into categories and subcategories and (d) grouping the data extracted from observations and documents.

4.4.4 Documents

Documents were used in this study because they are rich sources of data for social science research studies and, as Punch (2014:158) states, they may be used in various ways. In addition, documents are: (a) stable and may be reviewed repeatedly, (b) useful for case study research, (c) important tools that corroborate and augment evidence from other sources, (d) helpful in verifying the correct spellings, titles, names of people and names of organisations that may have been mentioned in an interview, (e) useful in providing other specific details to corroborate information from other sources and (f) relevant to case studies and may be collected during the course of the study (Yin 2014:106-107&125). Szczerbinski and Wellington (2007:81) are of the view that documents assist researchers to see the way in which an organisation portrays itself in print. For example, the South African Auditor-General (Kimi Makwetu) reports unclean audits for many institutions on a yearly basis and requests departments to cut down on the use of consultants (Mkhwanazi 2015:1). As explained in section 6.6, documents such as the progress report of the implemented housing project were supposed to be requested from the MPDHS in order to allow the researcher to collect secondary data. Document results were not discussed in this study because the researcher only used three (3) documents from the BLM (two IDPs and the *Mouthpiece* magazine).

4.4.5 Observation

Observation was used in this study because it allows researchers to systematically watch, listen and record the phenomena being studied (Mills & Kotecha in Lewis, *et al.*, 2014:267). The researcher used field notes to capture the data which had been observed see – see Annexure F. Observation focuses on the practices and interactions of participants at a specific moment. These practices and interactions of participants which are observed add new perspectives to the issue under discussion (Flick 2014:187). Observation is often used in case studies and when mixed methodologies are employed (Cowie in Croker & Heigham 2009:166). Bless, *et al.*, (2013:184) regard observation as core of case studies because it: (a) may be used to supplement other research instruments, (b) may be incorporated into interviews with key participants and (c) assists researchers to choose exactly what they wish to observe (Birmingham & Wilkinson 2003: 118 & 121-122) – see observation questions in Annexure F. Cowie in Croker and Heigham (2009:166) is of the view that observation entails conscious noticing and examining the details of the participants' behaviour in naturalistic setting. Leedy & Ormrod (2014:155) advise researchers to first ask someone to introduce them to the participants they intend to watch and recommend that they also briefly describe the informed consent forms to the participants in order to adhere to ethical issues. The researcher in this study was introduced to the participants by the ward councillor, municipal officer and the speaker of the BLM. Ethical issues are further discussed in section 4.7.1. It should be noted that, for entrance purposes to research areas, researchers should use either gatekeepers (people who provide a smooth entrance into the study or observation sites) or key informants (people who are able to provide information about and insights into the participants and sometimes facilitate contacts with other helpful individuals) (Leedy & Ormrod 2014:145).

Observation assists researchers to understand other issues which are not covered by the research questions. The following observation skills are important: (a) listening, (b) participating, (c) contributing, (d) pursuing, (e) questioning, (f) communicating, (g)

interacting, (h) sharing, (i) reframing, (j) retreating, (k) negotiating, (l) timing, (m) recording, and (n) describing (Birmingham & Wilkinson 2003:117). These observation skills assist researchers to solicit valuable data that may assist in answering the research questions because the researchers: (a) get on stage (commence with fieldwork) and (b) take part and watch a particular kind of behaviour from the stage (Garry 2009:183). While on stage, researchers should include information about the physical environment and any historical, economic and social factors that have a bearing on the situation in the notes they are recording while all separate pieces of information should point to the same conclusion (Leedy & Ormrod 2014:144). According to Mills and Kotecha in Lewis, *et al.*, (2014:251), observation may be: (a) carried out concurrently with other data collection approaches or sequentially either before or after other methods used, (b) used alongside other data collection tools to focus on different aspects of the issues being researched or to support or extend other evidence collected, and (c) used to validate findings identified from earlier data collection. In this study, various data collection tools were used and the observation supplemented these tools. The results of observation are discussed in section 6.3.2 and – see Annexure F.

Some types of observations include: (a) direct, (b) structured, (c) unstructured, (d) site visit, (e) systematic, (f) participant, (g) simple and (h) contrived (Green 2007:38-39 & 50-51; Garry 2009:186; Bryman 2012:273; Punch 2014:164). However, the commonly used types of observations include: (a) direct observation which is used by researchers to acquire more knowledge about a project's operations, participants' behaviours, their reactions and interactions (Green 2007:50) and may also be used by case study researchers to create observation opportunities (Yin 2014:113), and (b) structured observation which involves inspecting and observing physical facilities or employees in a specific institution and also involves pre-determined standard issues to be observed (Green 2007:51). Structured observation enables researchers to make assumptions about the social world and to break down social activities into quantifiable elements (Garry 2009:183). According to Bryman (2012:272), structured observation is also known as systematic observation. During structured observation, researchers use pre-developed observation schedules to

study behaviours and break these behaviours down into small parts (Punch 2014:164) (c) unstructured observation which provides researchers with informal opportunities to observe stakeholders interacting with other participants (Green 2007:51). Unstructured observation is also called participant observation because the researchers become participants in the situations they are researching by talking, watching people, reading documents, writing notes or doing anything that enables them (researchers) to understand the situations being observed (Garry 2009:186). Punch (2014:164) concurs with this by stating that unstructured observation assists researchers to focus on capturing the participants' behaviours in more natural and open-ended ways than may otherwise have been the case. The researchers become participants as well as observers of the situations and investigate the meanings of the participants' actions and events and (d) site visit observation which assists researchers to evaluate projects or programmes in their naturalistic settings (Green 2007:38-39). In this study, the researcher used both direct and site visit observations. The results from the observation are discussed in section 6.3.2.

In qualitative research, qualitative observations are open-ended because the researchers ask general questions and allow participants to express their views freely and which may also be recorded in field notes if such views are not covered in the questionnaires used during face-to-face interviews (Creswell 2014:190). Observation usually begins in an unstructured way and become more targeted as the study progresses (Morse & Niehaus 2009:97). It may also be used in combination with other methods. Observation can also be used for: (a) testing or verifying what has been said in interviews, (b) providing potential explanations for apparent inconsistencies in the spoken accounts, (c) showing how something described in the interviews is enacted in practice, (d) understanding interactions or behaviours that are later described and (e) identifying the themes or puzzles which will then be explored in the spoken accounts (Mills & Kotecha in Lewis, *et al.*, 2014:250).

4.4.6 Triangulation

The data collected was triangulated in this study. Triangulation entails obtaining different perspectives on a phenomenon from various participants using variety of data collection instruments such as observation and various questionnaires (Szczerbinski & Wellington 2007:34; Croker & Heigham 2009:11; Hood in Croker & Heigham 2009:81; Rallis and Rossman in Croker and Heigham 2009:266; Bryman 2012:392; Bless, *et al.*, 2013:238; Cresswell 2014:210; Flick 2014:184; Yin 2014:119). Rallis & Rossman in Croker & Heigham (2009:267) state that the use of multiple data collection instruments helps to ensure that a qualitative study is properly conducted by making the researcher's position clear to both the participants and the readers. This is affirmed by Treadwell (2011:16) who maintains that the use of multiple data collection instruments provides multiple perspectives which ensure that researchers are in a position to answer their research questions.

Triangulation in case study research involves: (a) the use of multiple data sources, (b) observations, (c) interpretations of research studies by multiple researchers, thus highlighting theoretical perspectives on the research to the topic (literature reviews), (d) the use of multiple methodologies and (e) the incorporation of member checking practices in which participants are invited to review and analyse the study results (Compton-Lilly in Graue & Trainor 2013:59). The participants are provided with the study results for verification purposes. The use of multiple sources of evidence in case studies enables researchers to address a broader range of historical and behavioural issues than may otherwise have been the case (Yin 2014:120). In other words, triangulation assists researchers to view phenomena from several points or angles rather than just viewing them from one point or angle (Garry 2009:111).

The types of triangulations include the following: (a) investigation in which more than one person is involved in the interpretation and analysis of the data, (b) theory which involves the use of more than one theoretical framework, (c) methodological which involves the use of more than one method to collect data and (d) a design frame in which either a case study design or both case and longitudinal studies are involved (Garry 2009:111; Flick 2014:183). In this study, methodological triangulation was employed through the use of mixed methodologies. The different variables and different data collection instruments were triangulated to enable the researcher to answer the research questions accurately. Triangulation encourages researchers to: (a) collect information from multiple sources with the aim of corroborating the study findings, (b) increase the researcher's confidence that the case study's results have portrayed the event/phenomenon in question accurately and (c) ensure that case study's results had accurately portrayed the participants' perspectives. This may be done by interviewing the same or different participants several times (Yin 2014:121-122). As explained in section 5.2, the participants in this study were interviewed once. Bless, *et al.*, (2013:238) are of the view that triangulation verifies and increases the trustworthiness of qualitative research.

4.5 Data

Both primary and secondary data was collected for the purposes of this study using various data collection instruments – see section 4.4. The data collected comprises the basic units or building blocks of information which are used to answer the research questions and they may be: (a) images, (b) sounds, (c) words and/or (d) numbers. When the data is grouped into patterns, the data becomes information (Rallis & Rossman 2012:3-4). This is affirmed by Leedy and Ormrod (2014:10) who state that data comprises separate bits of information which are unorganised, have no focus and need to be managed in some way if the research questions are to be answered. The data collected is used to answer questions and develop and test ideas (Punch 2014:3). Leedy and Ormrod (2014:82) are of the opinion that researchers must know: (a) where the data which is required to answer their research

questions or resolve their research problems is to be found and also the characteristics of the data and (b) how the data will be obtained and interpreted. The participants interviewed in this study were to be found in the BLM which was the case. The interpretation of the analysed data is explained and illustrated in chapter 5.

Thus, data is observable information about the world or about direct experience of the world (Punch 2014:3). Data: (a) serves as a link between the absolute truth and the researcher's inquiring mind, (b) contains pieces of truth, although are in a somewhat unrefined state, (c) assists researchers to extract meanings using research methodologies, (d) assists researchers to choose a methodology that will provide data that is relevant to the solving of the research problems or the answering of the research questions because, in most instances, the data required dictates the research methodologies which should be used (Leedy & Ormrod 2014:96-97). According to Walliman (2006:83), data may be regarded as raw materials of research. Researchers must analyse and interpret the data collected in order to transform it into information that produces the practical knowledge used to address social issues (Rallis & Rossman 2012:5). SPSS version 23 was used to analyse the data collected in this study. The interpretation of the analysed data produced results, recommendations and a CRC survey questionnaire for the BLM citizens with the aim of improving service delivery, including housing service delivery. It is important that researchers collect only the data that is required to: (a) answer their research questions, (b) resolve their research problems and (c) achieve the research objectives (Walliman 2006:87). In addition, researchers need to explain the data collection procedures used in both the qualitative and quantitative research studies and demonstrate the quality of the qualitative and quantitative data collected (Mertens in Graue and Trainor 2013:146). As explained in section 4.3, qualitative and quantitative data complement each other.

Researchers collect primary data that is the most appropriate to the research aims and which is directed towards answering specific questions which have been raised (Bless, *et al.*, 2013:184). In most instances, interviews produce verbal data which consists primarily

of words which result from the various methodological approaches used to enable the participants to speak about events as well as their experiences, views or practices (Flick 2014:195). Researchers should, thus, ensure that the participants or their legal representatives in the case of children are given informed consent forms before the requisite primary data is collected (Punch 2014:44). All the participants in this study were requested to sign the informed consent forms attached in Annexure E before they were interviewed in order to ensure that their participation in the study was voluntary. Researchers also use secondary data which has been collected by other researchers, for example, documents (Bless, *et al.*, 2013:184). The review of relevant literature usually sheds light on the research topic and helps in the formulation of the research questions which are then answered by means of the results of the empirical study. Walliman (2006:84) maintains that secondary data provides the background to a study although Gorard (2013:29) believes that secondary data may assist in the selection of the sample for a further in-depth study. If the data reaches saturation, then the researchers must cease collecting data. Data saturation is reached when no new information is being provided by the participants (Croker & Heigham 2009:10). The data which has been collected must be stored securely and access to the data must be tightly controlled throughout the duration of the projects and beyond (Punch 2014:47). The data collected for the purposes of this study was securely stored in the researcher's house and will be kept for a period of five (5) years only.

4.5.1 Data analysis

The SPSS version 23 was used to analyse the data collected. The data which had been collected was categorised into themes and the results were interpreted with the aim of shedding light on the impact of cooperative government and intergovernmental relations structures on housing service delivery challenges in the BLM. Data analysis refers to the stage during which the incorporation of several elements emerging from the data collected into meaningful statements (Bryman 2012:13). Green (2007:18 & 23) regards data analysis

as holistic analysis because it requires researchers to include all the data which has been collected from different sources in order to gain a clear understanding of the research or case study in question. It should be noted that the context of a case involves social, historical and economic influences. Researchers seek links and patterns in the analysed data and build themes that simultaneously fulfil the research purposes and also express both the particular and essential nature of the setting and the study participants (Croker & Heigham 2009:10-11). Themes are derived from explanation of the relationship between the interview data and provided responses must communicate meanings and new knowledge (Trainor in Graue and Trainor 2013:134). The new knowledge which was derived from this study produced an accountability tool for use by the BLM citizens – see section 7.2.1.1. Ethics are also relevant in the data analysis and reporting because researchers are not allowed to change the data which has been collected and/or observed (Bless, *et al.*, 2013:35). The results of the data analysis are discussed in chapter 5.

4.6 Validity, reliability and trustworthiness

The aim of research studies is to find answers to research questions. The research process used should ensure that it is possible to test the research procedures, design, methods and techniques for their reliability, validity and trustworthiness (Kumar 2011:5). Green (2007:38) is also of the view that the validity, reliability and trustworthiness of research instruments should be tested. Validity reliability and trustworthiness are discussed below.

4.6.1 Validity

In order to ensure validity of the study, the researcher submitted the findings to: (a) the ward councillor of ward 31 (Thulamahashe C), (b) the municipal manager's office and (c) the speaker's office to check whether they would confirm the researcher's interpretations

of the analysed data. Bryman (2012:391) advises that participant validation is important in qualitative research studies because it assists researchers to ensure that there is a sound correspondence between their findings and perspectives and the lived experiences of their research participants. Rallis and Rossman (2012:65) concur by stating that participant validity or member checking allows the participants to check the findings and, thus, to elaborate, correct, extend or argue about them (findings) while, on the hand, provides researchers with opportunities for eliciting further information and analysis using interview transcriptions if either disagreements or new and valuable data emerges. It should be noted that the validity of a research study or project as a whole refers to its accuracy, meaningfulness and credibility (Leedy & Ormrod 2014:103) and not the truth or certainty about an issue (Van den Berg 2005:41 & 83). Thus, validity refers to the quality and not the authenticity of a research study or project (Szczerbinski & Wellington 2007:43). In other words, validity indicates only the degree to which a research method or instrument measures what it is supposed to be measuring and not the research study as a whole (Garry 2009:107). Research instruments were used in this study to determine the effectiveness of the cooperative government and intergovernmental relations structures in the BLM in providing adequate housing. The findings are discussed in section 6.3. The literature sources, research methodologies and data collection instruments were also cross-checked for validity purposes. As stated by Morrell, *et al.*, in Lewis, *et al.*, (2014:365), validation refers to the process of checking the validity of findings or conclusion through analysis or cross-checking with other sources.

4.6.2 Reliability

It will only be possible to determine the reliability of the findings of this study in the future because reliability in this context refers to the accuracy and consistency of the research instrument in producing the same results when repeated, in particular, if the circumstances remain the same (Bless, *et al.*, 2013:229; Brownlow, Hinton & McMurray 2014:366; Yin 2014:125). Reliability also implies repeatability, consistency and replicability.

Replicability refers to the extent to which a: (a) piece of research may be copied or replicated in order to give the same results in a different context or with different researchers and (b) test, method or tool gives consistent results across a range of settings and if used by a range of researchers (Szczerbinski & Wellington 2007:45). Reliability is the extent to which a research instrument will provide the same results on different occasions (Garry 2009:105). Morrell, *et al.*, in Lewis, *et al.*, (2014:365) are of the view that reliability also implies confirmability or dependability because the research findings must be the same if another study using same or similar methods is undertaken. The types of reliability used frequently in research studies include: (a) interrater which entails the extent to which two or more individuals evaluating the same product or performance give identical judgements, (b) test-retest which focuses on the extent to which a single instrument yields the same results for the same people on two different occasions, (c) equivalent which is the extent to which two different versions of the same instrument yield similar results and (d) internal consistency which is the extent to which all of the items within a single instrument yield similar results (Leedy & Ormrod 2014:93).

4.6.3 Trustworthiness

As explained in section 4.6.1, the trustworthiness of the findings was evaluated by submitting the findings to various parties in the BLM. According to Leedy and Ormrod (2014:272), trustworthiness determines the extent to which participants and readers perceive the study's findings in such a way that they are convinced about the findings and they take the study seriously. Researchers must demonstrate the trustworthiness of their research studies by setting standards for judging such trustworthiness. The readers should be convinced that the study has both merit and worth and that the results are credible and potentially useful as regards guiding future research studies and practices. The standards for judging trustworthiness must also include accepted principles and practices governing ethical engagement with the participants. Adhering to ethical issues is an acceptable practice (Rallis and Rossman in Croker & Heigham 2009:264-265). In this study, ethical

issues were adhered to and the participants were given copies of the ethical clearance certificate issued by the University of South Africa. In addition, the participants were also requested to sign informed consent forms before they were interviewed and the purpose of the study and the ethical issues involved were explained to them.

4.7 Ethical considerations

The researcher was given an ethical clearance certificate by the University of South Africa. Researchers must obtain permission from the appropriate committee at their institutions for any research study involving human beings or animals (Leedy & Ormrod 2014:273). It should be noted that nearly all case studies involve human affairs. Thus, in the interests of protecting the people concerned, researchers must obtain formal approval from the institutions at which the research studies will be conducted (Yin 2014:78). The researcher obtained permission to conduct the research study from the Municipal Manager of the Bushbuckridge Local Municipality, the acting Head and the Head of the Mpumalanga Provincial Department of Human Settlements – see Annexure B. Unfortunately, the MPDHS officials did not respond to the made data collection requests of interviewing officials who were responsible for housing delivery in the BLM.

It is imperative that researchers should always respect the participants' rights and dignity and that they remain constantly aware that the participants are human beings and they have legal rights. These rights should not be violated by any research study. In other words, researchers should always preserve the dignity and self-respect of the participants (Bless, *et al.*, 2013:31). Consent in the research study context implies that the participants have agreed to take part in the research study while informed consent means that participants have been informed in detail about the research study and they have a clear understanding of what are they agreeing to. The researcher is responsible for ensuring this happens (Garry 2009:147). All ethical concerns should be resolved before the research study or data

collection begins (Bless, *et al.*, 2013:32). Ethics are at the heart of high quality research practice (Lewis & Nicholls in Lewis, *et al.*, 2014:49-55).

4.7.1 Ethical issues

In the research context ethical issues include: (a) protection from harm, (b) voluntary and informed participation, (c) right to privacy and (d) honesty with professional colleagues (Leedy & Ormrod 2014:106). Some of these ethical issues are discussed below.

4.7.1.1 Anonymous

The participants in this study were coded by allocating numbers numerically for the purposes of anonymity. The anonymity of participants must be protected. According to Treadwell (2011:43), it is incumbent on researchers to: (a) fully protect participants, (b) ensure that the data collected from participants does not identify them and (c) instruct participants not to write their names on any information they provide. Anonymity is linked to confidentiality in the sense that participants' data must not be associated with their names. Thus, researchers should assign a number (code) to each participant's data to ensure that the participants remain anonymous (Bless, *et al.*, 2013:33). Research participants may be protected from harm by the removal of any information from the stored and analysed data and that could result in the individual participants being easily traceable and identifiable (Punch 2014:48). Yin (2014:196-197) is of the view that anonymity serves to protect the real case and its real participants. Researchers must ensure that participants speak the same language as is spoken by both the population and researcher so that ethical issues are well-understood (Bless, *et al.*, 2013:80). As stated in section 4.3.1, participants were interviewed in their own languages. Commonly used techniques to ensure anonymity include: (a) deleting personal information (such as names, job titles, place of work, name

of school, dates and places of crucial events, detailed institutional descriptors and other information the researcher deems relevant) from the data and replacing it with aliases and more generic categories, (b) using numerical identifiers and (c) removing personal information completely from the data (Punch 2014:48).

4.7.1.2 Confidentiality

Only the researcher in this study had access to the data which had been collected and securely stored in the researcher's house – see section 4.5.1. According to Treadwell (2011:73), confidentiality simply means that no information that identifies the participants will be released. Rallis and Rossman (2012:73) support this view by stating that researchers must ensure that the promised confidentiality is always maintained. Anonymity and confidentiality both imply that the participants' identities will not be disclosed and neither will the findings be reported in a way that they could be attributed to specific people (Brown, Lewis & Webster in Lewis, *et al.*, 2014:109). Thus, researchers must not reveal the identities of their research participants or link them to the data they provided by identifying who said what to other people (Rallis & Rossman in Croker & Heigham 2009:275; Bless, *et al.*, 2013:32). However, Punch (2014:47-48) raises the interesting point of confiding in others. Punch (2014:47-48) is of the view that confiding in others may violate confidentiality but what happens if a researcher discovers information about, for example, human trafficking syndicates and there is an urgent need to involve the police? The researcher has detailed information provided by key informants about these syndicates. Human trafficking is unethical and it is against the law. Must the researcher still maintain confidentiality in this regard? This point certainly justifies a further research study.

4.7.1.3 Voluntary participation and privacy

The researcher in the study verbally informed the participants that their participation in the study was voluntary and that their private lives would not be invaded. Voluntary participation was also mentioned on the semi-structured questionnaires and informed consent form – see Annexures D and E respectively. According to Salkind (2012:86), researchers must not invade the participants' private lives or spaces by observing or collecting data without their consent and the participants' privacy must always be maintained. The right to privacy in the research context refers to the right of people to be free from any unwelcoming research interventions as well as the right to withhold any information that they deem personal or sensitive (Punch 2014:47). Participants have private lives and all aspects of these private lives must always be respected. In addition, participation in a research study must be voluntary and informed and not persuaded (Seidman 2013:108 & 140). The participants' right to privacy must be maintained by assigning various pseudonyms to the different participants and using those pseudonyms through the data collection process and in the final research report (Rallis & Rossman in Croker & Heigham 2009:275; Leedy & Ormrod 2014:153). As mentioned in section 4.7.1.1, numerical numbers were allocated to the participants in this study. The principle of voluntary participation was also adhered in that certain ward councillors were not coerced into participating in the study – see Table 6.1.

4.7.1.4 Informed consent forms

The participants were given informed consent forms to sign before the interviews commenced. The informed consent forms used in this study served, namely: (a) to protect the participants' identities and privacy and (b) to ensure that that participants were aware that information about their names, identities and the specific roles they played would not be used in any discussions or written documents pertaining to the study. This was in

accordance with the advice of Rallis and Rossman (2012:74). Ethics require that research studies should be based on informed consent and it is incumbent on researchers to avoid invading the participants' privacy or deceiving them, *inter alia*, the research study's aims (Flick 2014:51). Both the consent and informed consent forms must include the following information: (a) title of the research project and name of the researcher, (b) confirmation that the project is for research purposes, (c) confirmation that participation in the study is voluntary and the participants are free to withdraw at any time without any prejudice, (d) participants could withdraw the data supplied or provided from usage (e) arrangements for debriefing and (f) arrangements for the provision of feedback. In addition, these forms must ensure that the participants fully understand what their agreement to participate entails and they must give their consent willingly (Croker & Heigham 2009:149-154; Rallis & Rossman in Croker & Heigham (2009:276; Rallis & Rossman 2012:74).

Obtaining the informed consent of the participants is extremely important and they must be given informed consent forms before they participate in a research study (Szczerbinski & Wellington 2007:62). These forms provide the participants with the opportunity to be fully informed of both the nature of the research and the implications of their participation from the outset. Thus, if the participants or other people raise any concerns, the researcher will have a signed record of consent (Bryman 2012:140). Cresswell (2014:243) highlights that informed consent forms are those forms which are signed by participants before they participate in research studies in order to ensure that the participants' rights will be protected during the data collection. However, Punch (2014:44-45) also indicates that researchers should ensure that the consent forms are genuine and monitored on an ongoing basis rather than being seen as one-off event as the research questions may be modified as a result of new data (Punch 2014:44-45). It should also be noted that consent forms must be drawn up by the researchers and signed by participants prior to their taking part in the research study (Brown, Lewis & Webster in Lewis, *et al.*, 2014:109).

4.8 Conclusion

The study used a case study design with mixed methodologies. Researchers use mixed methodologies research to collect both qualitative and quantitative data because such mixed methodologies provide rich and strong evidence and also generate large amounts of information from different sources. Case studies are often used to address broad issues in society, social institutions and social relationships. In the public administration discipline, case studies are conducted in real-life setting and contribute to finding concrete solutions to social problems. Case study researchers use various types of case studies to conduct their case study research, including particularistic, instrumental, collective or multiple and single case study research. Various data collection instruments such as sampling, questionnaires, interviews, observation, documents were triangulated to ensure that both qualitative and quantitative data was collected. As discussed in the chapter the study adhered to ethical issues.

CHAPTER 5

DATA ANALYSIS AND INTERPRETATION

5.1 Introduction

Chapter 4 discussed the research design and methodology employed in the study. As stated in section 1.1, housing is one of the basic requirements of life. Since 1994, 4.3 million public houses have been provided in South Africa (National Department of Human Settlements 2015:20; Mabaya 2016:6). The NDHS is aiming to provide 1,495 million housing opportunities in order to achieve the human settlements development outcomes of the 2030 NDP (National Department of Human Settlements 2015:23). In 2016, 63% of South Africans live in urban areas and it is estimated that, by 2030, 71% (South Africans) will be living in urban areas. Although some housing projects have been completed, the houses remain unoccupied because of the mismanagement of waiting lists and confusion over who should benefit (Mabaya 2016:4 & 7). The study results revealed that the BLM used the National Housing Needs Register as a database in order to capture the housing needs of housing applicants.

The information captured was used to prioritise the housing needs of housing applicants and served as a waiting list – see Annexure F. According to Bramley, Pawson, Watkins and White (2010:30-31), waiting lists are not the best way in which to measure unmet housing needs at the provincial and national government spheres because they may either under-state or over-represent certain housing needs due to changes in circumstances. In the South African context, it would appear that the majority of housing applicants are often on the waiting lists for several years and, when they are finally approved for a house, they no longer qualify because they have either built their own houses in the interim or their income levels have changed. This highlights, the need for the effective use of the

cooperative government and intergovernmental relations structures created in addressing the service delivery challenges faced by the democratic government. This study aimed to provide answers to the main research question and also to the research sub-questions in this chapter through the analysis and interpretation of the data collected. The administrations of the questionnaires and the data analysis are also discussed in this chapter which concludes with a summary of the discussions.

5.2 Administration of the semi-structured questionnaires

A questionnaire is a document that contains a list of written questions (Kumar 2014:178). In this study four semi-structured questionnaires were used to collect both the quantitative and qualitative data required. The researcher conducted face-to-face interviews from 11-28 July 2016 with fifteen (15) ward councillors of the BLM (target population of the study), thirty-five (35) beneficiaries of the Construction of Youth Houses 50 Project, eight (8) ward committee members of ward thirty one (31) (Thulamahashe C) and two (2) officials of the BLM who were responsible for the public housing for the thirty eight (38) municipal wards of the BLM. In order to comply with research ethics, the participants were requested to sign informed consent forms after the purpose of the study and their rights were explained to them. In view of the fact that the researcher used four (4) semi-structured questionnaires to collect the requisite data from the sampled groups (ward councillors, beneficiaries, ward committee members and the BLM housing officials), the word participant was not used when interpreting the results so as to avoid confusion.

5.3 Data analysis and interpretation of the results

Data analysis consists of examining, categorising, tabulating, testing and combining evidence to produce empirically based findings (Yin 2014:132). As mentioned in sections

4.3.1, 4.3.2 and 4.4.1, the SPSS version 23 software was used to analyse the data collected. Researchers interpret the results produced by the analysis of the data which has been collected (Bryman 2012:163). The interpretation of the results determines the extent to which the research study conducted has answered the research questions as well as the extent to which these answers are trustworthy (Bless, *et al.*, 2013:21-22). This is affirmed by Leedy and Ormrod (2014:328) who state that the interpretation of the analysed data constitutes the essence of data and that researchers should interpret the analysed data by demonstrating how the analysed data resolved the research problem and/or answered the research question/s.

When interpreting data, researchers need to provide an accurate account of the information collected (Creswell 2014:99). In this study, the four (4) semi-structured questionnaires used were divided into themes. Each tool was captured in its own template in the SPSS software and analysed per theme in order to answer the research questions accurately. Five (5) techniques used for analysing case studies include: (a) pattern matching, (b) explanation building, (c) time-series analysis, (d) logic models and (e) cross-case synthesis. If empirical and predicted patterns appear to be similar, the results may help a case study to strengthen its internal validity while, if a case study is an explanatory study, the patterns that emerge may be related to the dependent and independent variables of the study. In a descriptive case study, pattern matching is still relevant as long as the predicted pattern of important descriptive conditions was defined prior to the data collection (Yin 2014:132 & 143). This study used an explanation building technique to answer the research questions. Probing and observation were also used to collect data. The results are discussed in sections 6.3.1 and 6.3.2 respectively – see Annexure F.

5.4 Research questions

Researchers conduct research studies in order to answer their research questions or to find solutions to their research problems. This research study was undertaken to answer the following questions:

5.4.1 Question 1 (main question)

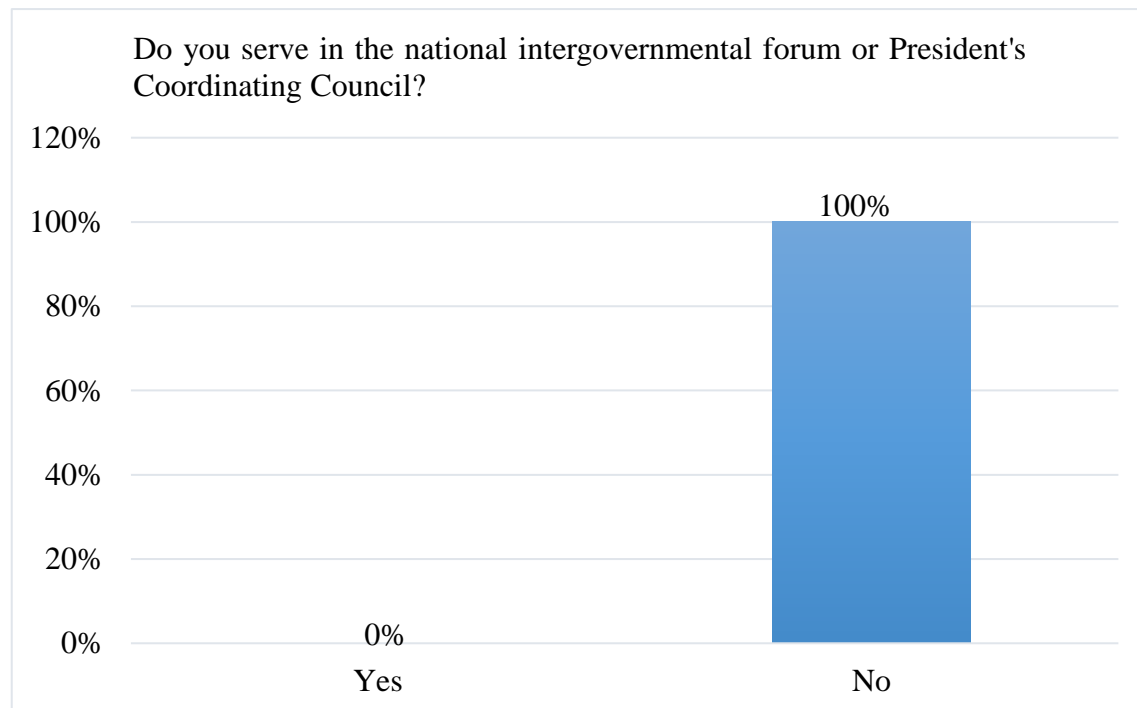
How are the cooperative government and intergovernmental relations structures utilised by the three spheres of government to improve housing service delivery in the Bushbuckridge Local Municipality (BLM)?

Cooperative government and intergovernmental relations in the South African context require the three government spheres to work in partnership and constantly communicate to ensure that the needs of citizens at the local government sphere are considered by the national and provincial government spheres, as discussed in section 1.2.2. This main question was answered by the responses which were given to some of the questions contained in the semi-structured questionnaire administered to the ward councillors. The results revealed that 100% of the ward councillors did not serve on the national intergovernmental forums or PPC and the provincial intergovernmental forum – see Graphs 5.1 and 5.2 respectively. According to The Presidency (2015:23), the PCC brings together the leadership from the three government spheres to coordinate and improve the performance of these three government spheres. The composition and roles of this council are discussed in section 3.4.2. In addition, South Africa, as a democratic country, should have a joined-up government system that promotes cooperative and intergovernmental relations within the three government spheres – see section 2.3. Furthermore, the

provincial intergovernmental relations forum is required to submit annual progress reports on the implementation of national policies and legislations to PCC – see section 3.4.8.

There were contradictory responses from the fifteen (15) ward councillors interviewed on who served in the municipal intergovernmental forum. The study found that 60% stated that all the ward councillors served in this structure, 13.3% indicated that only the mayor and speaker served in this forum while 26.7 % assumed that the Members of Mayoral Committee (MMCs) served in this structure – see Graph 5.3. This contradiction may have resulted from either a lack of knowledge or the low literacy level of most of the ward councillors interviewed. The researcher observed that the ward councillors had struggled to answer the questions posed although they were all interviewed in their own languages. In view of this, it may be argued further through research that the cadre deployment policy of the ruling party is indirectly hampering service delivery because this policy is based on trust and comradeship solely and contributes to: (a) the deployment of unskilled people while municipalities require skilled individuals including ward councillors, (b) poor planning, (c) ineffective leadership and (d) underspending and the mismanagement of financial resources in most instances – see sections 1.2.2, 2.3.1 and 2.5.3 – see Annexure F.

Participation in the national intergovernmental forum or President's Coordinating Council



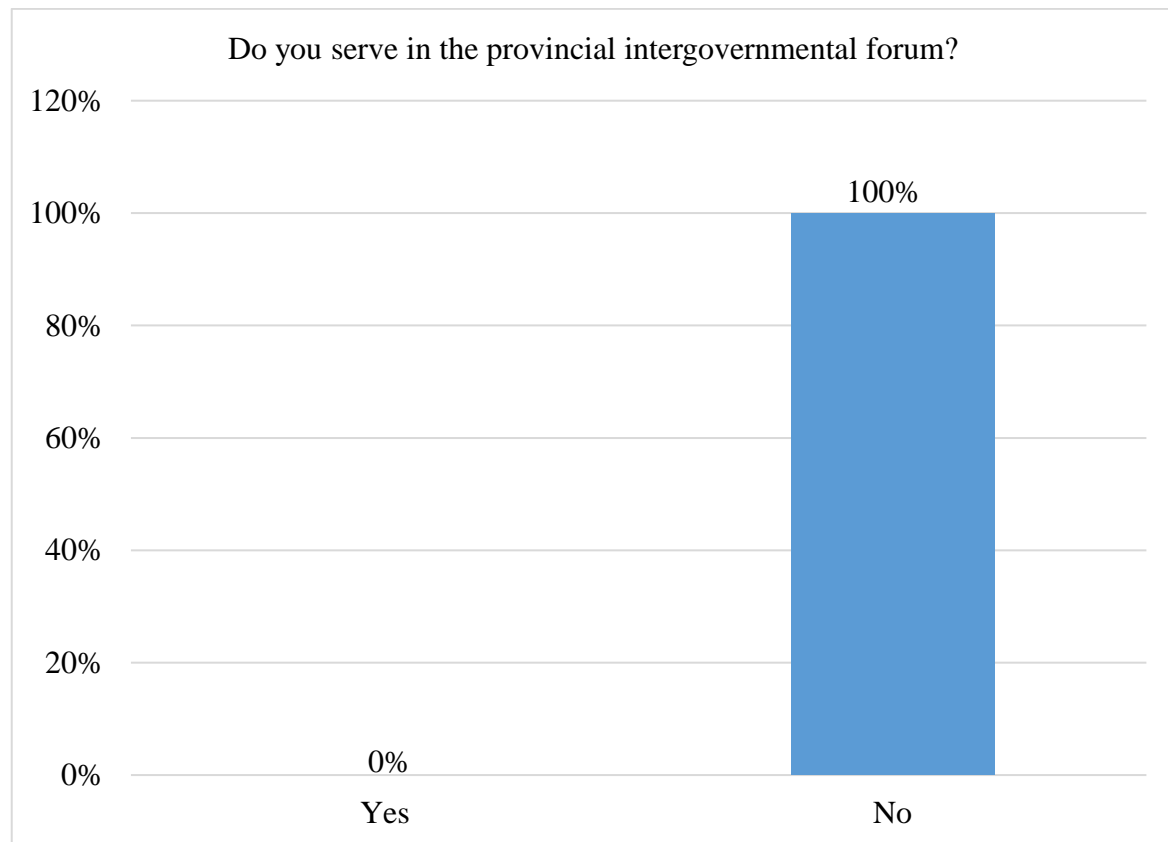
Graph 5.1: The responses regarding participation in the national intergovernmental forum or President's Coordinating Council

Source: Compiled by the researcher, 2016

As regards the effectiveness of the municipal intergovernmental relations forum, 20.0 % of the ward councillors indicated that they were unaware of its existences and were doubtful whether it was effective in addressing the housing challenges at the BLM, 6.7% indicated that, although there were challenges which could not be disclosed to the researcher, housing information was disseminated through this forum. 33.3% indicated that this forum was effective because housing challenges were discussed and solutions sought jointly while 40% indicated that the forum was ineffective because the housing challenges reported were not speedily addressed and sometimes not addressed at all – see Graph 5.4. Municipalities may form inter-municipal forums – see section 3.4.9.

Section 28 of the Municipal Structures Act (117 of 1998) provides for the establishment of inter-municipality forums by two or more municipalities to promote and facilitate intergovernmental relations between these municipalities. However, based on the above discussion, it would seem that the cooperative government and intergovernmental relations structures were not being effectively used by the three government spheres to improve housing service delivery in the BLM. In addition, at the time of the study, some of the houses built had defects – see Annexure F. Municipal councillors who are constitutionally based on the local government sphere are obliged by the Constitution to ensure that citizens are provided with the basic public services, including housing, that impact directly on their lives on a daily basis. Furthermore, the municipal councillors are required to carry out their duties in a transparent and accountable manner (South Africa. Electoral Commission 2016:20 & 50). The unethical behaviour of some of the ward councillors, as discussed in section 6.3.2, did not reflect that they were executing their responsibilities in a transparent and accountable manner so as to promote cooperative government and intergovernmental relations.

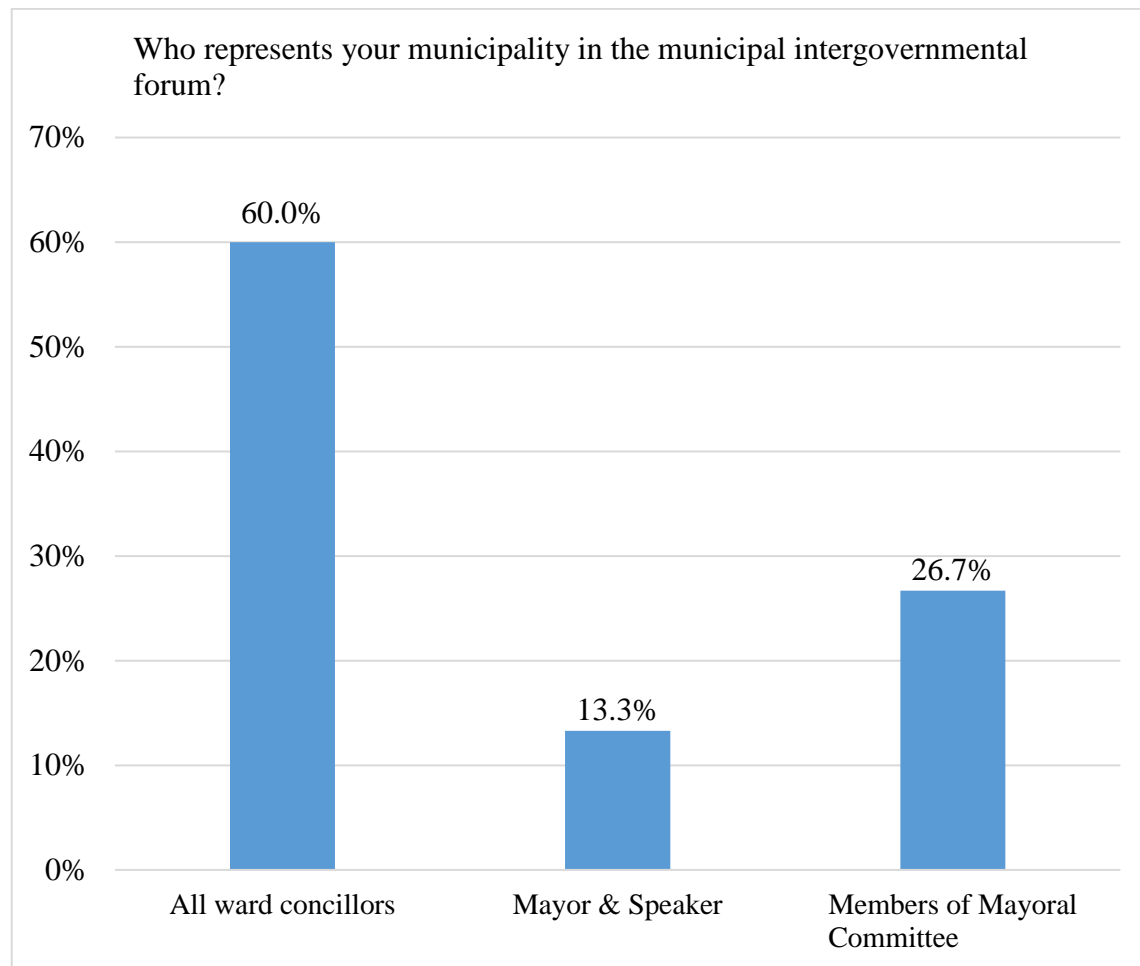
Participation in the provincial intergovernmental forum



Graph 5.2: The responses regarding participation in the provincial intergovernmental forum

Source: Compiled by the researcher, 2016

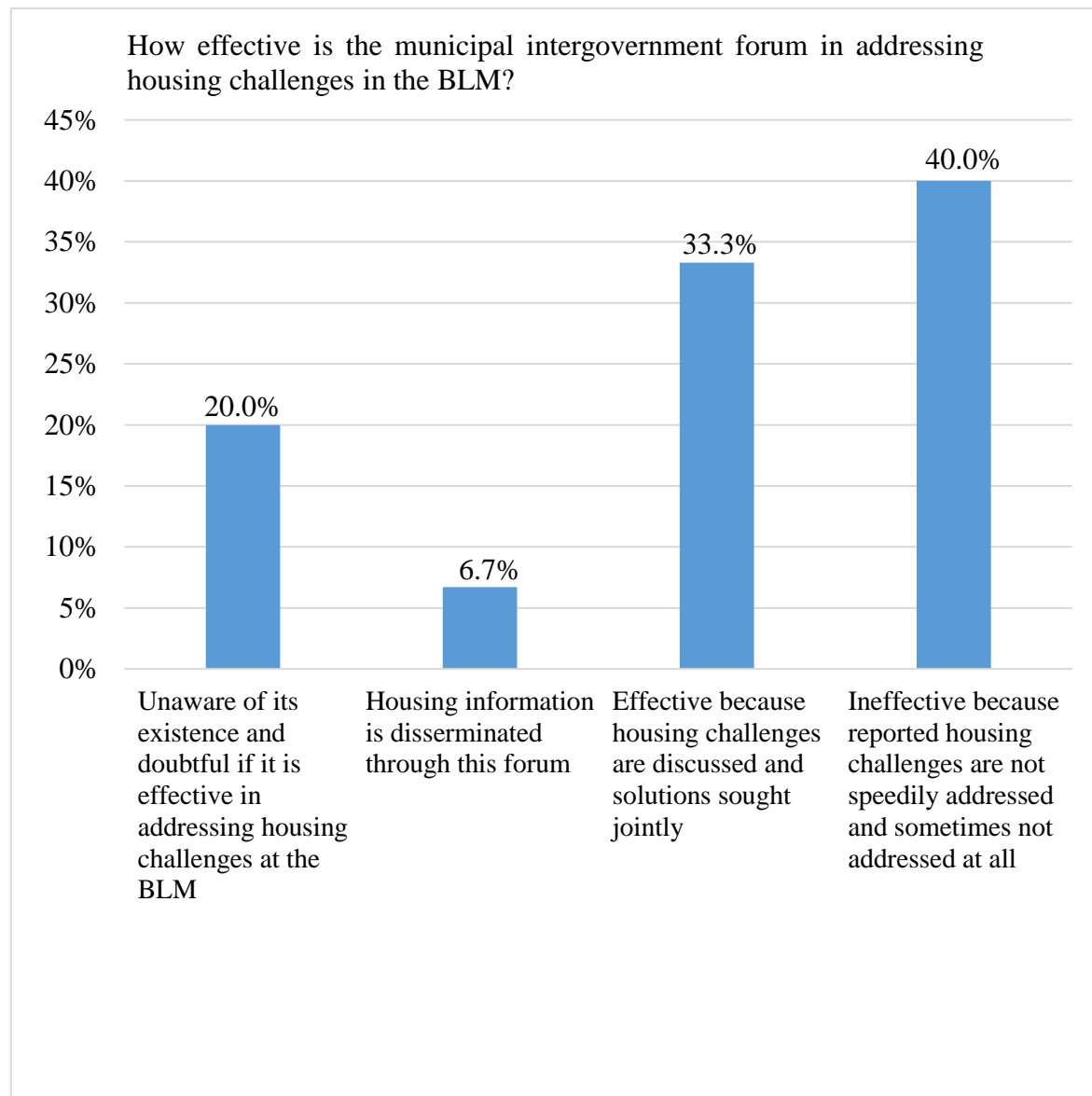
Participation of ward councillors in the municipal intergovernmental forum



Graph 5.3: The responses regarding participation in the municipal intergovernmental forum

Source: Compiled by the researcher, 2016

Effectiveness of the municipal intergovernmental forum in addressing the housing challenges at the BLM



Graph 5.4: The responses regarding the effectiveness of the municipal intergovernmental forum

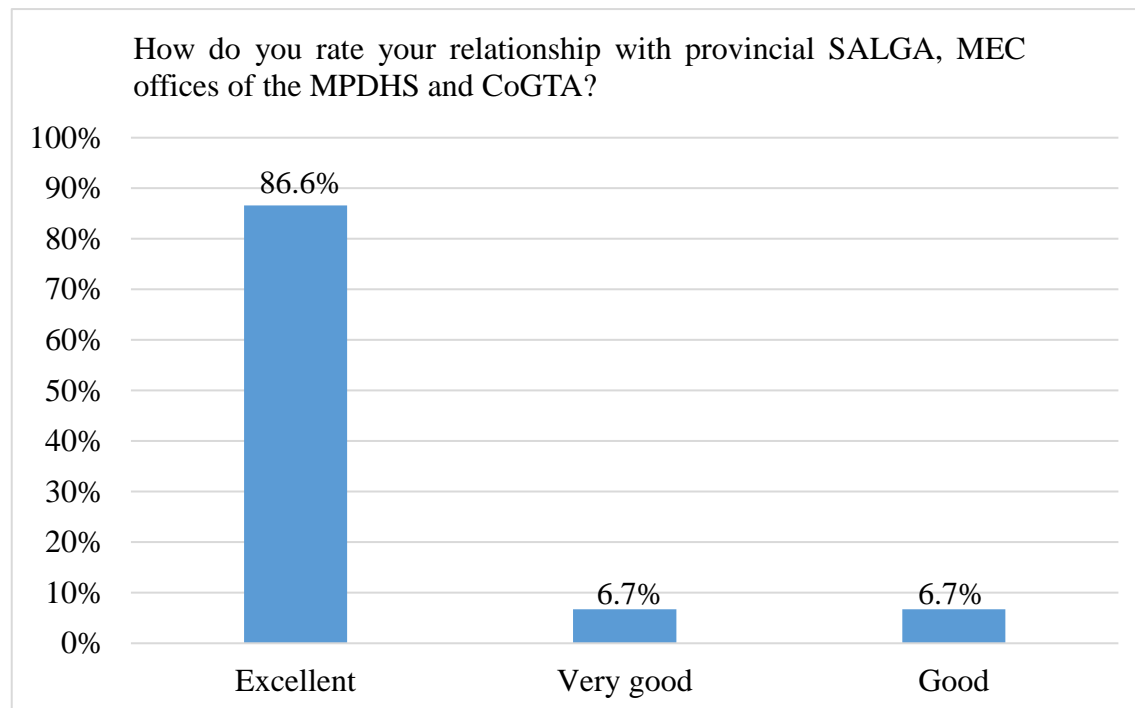
Source: Compiled by the researcher, 2016

5.4.2 Question 2

What are the reasons for the three spheres of government appearing to operate in silos when delivering housing services in the BLM?

The relationship between the ward councillors and the provincial SALGA, MEC offices of the MPDHS and CoGTA was not explained in the context of addressing service delivery problems in the BLM. Officials from the provincial SALGA offered training workshops while officials from the above mentioned offices of the MECs were invited to housing project launches or housing events in the BLM. On this basis, 86.6% of the ward councillors indicated that their relationship with the provincial SALGA, MEC offices of the MPDHS and CoGTA was excellent, 6.7% indicated that the relationship was very good while the other 6.7% indicated that it was good – see Graph 5.5. The results revealed that 66.7% of the ward councillors had indicated that the budget allocated did not cater for their budget needs while 33.3% indicated that the budget allocated did cater for their budget needs – see Graph 5.6. The mayors are responsible for addressing the financial problems of municipalities while the municipal managers are responsible for the daily administration of service delivery programmes and expenditures – see section 1.2. The local government budget forum is a further platform that maybe used to facilitate the finding of solutions to social transformation problems – see section 2.5.3. A house cannot be declared adequate without the provision of housing services. The study found that 73.3% of the ward councillors indicated that the budget allocated did not cater for housing services such as water and sanitation in their wards while 26.7% indicated that the budget allocated did cater for housing services – see Graph 5.7. It was revealed through probing that the budget for housing services was allocated to the wards (38) by the BLM's integrated development planning (IDP) unit because the BLM did not have the local government budget forum at the time of data collection – see Annexure F.

Relationship of ward councillors with provincial SALGA, MEC offices of the MPDHS and CoGTA



Graph 5.5: Responses regarding the relationship of the ward councillors with the provincial SALGA, MEC offices of the MPDHS and CoGTA

Source: Compiled by the researcher, 2016

The BLM council prioritised the houses allocated to a particular ward using the information contained in the database (National Housing Needs Register) – see Annexure F. It emerged that each government sphere was executing its own housing mandatory responsibilities in the BLM because: (a) 77.1% of the beneficiaries interviewed indicated that the allocated houses did not meet their housing needs, (b) 57.1% indicated that their allocated houses had leaking roofs, (c) 68.6% indicated that the houses provided did not have adequate space and (d) 51.4% indicated that the houses provided did not protect the residents from cold and heat. This all despite the fact that the BLM has an inspection unit. In order to promote good government, the three government spheres are supposed to consult each other on the design and size of the houses and communicate on housing issues

in order to make joint decisions as silo operation does not promote accountability – see section 7.2.1. The study found that 100% of the housing officials of the BLM indicated that they used the Communication, Marketing and Events Coordination Unit of the BLM to consult, communicate, coordinate, cooperate and collaborate with the other two government spheres (national and provincial) on housing issues and that this unit always provided feedback.

It emerged that 80.0% of the ward councillors indicated that they used the BLM's Communication, Marketing and Events Coordination Unit to consult, communicate, coordinate, and cooperate with the MPDHS and the NDHS on housing issues such as housing project launches and implementation while 20.0% indicated that they did not use this unit to consult, communicate, coordinate, and cooperate with these departments – see Graph 5.8. In addition, 73.3% of the ward councillors indicated that they used the BLM's Communication, Marketing and Events Coordination Unit to collaborate on housing issues such as housing launches and housing project implementation with the MPDHS and the NDHS while 26.7% indicated that they did not use this unit to collaborate on housing issues with the above mentioned departments – see Graph 5.9. This provided a clear indication that the three government spheres were only involved: (a) in the implementation of housing projects and (b) when there were housing projects launches at BLM. There was no indication of the three government spheres working together to solve the housing challenges in the BLM. As discussed in sections 1.2.2 and 3.3, the National Council of Provinces (NCOP) is one of the cooperative government and intergovernmental relations instruments that should ensure that the three spheres of government work jointly to address the service delivery challenges in the BLM, including the housing challenges.

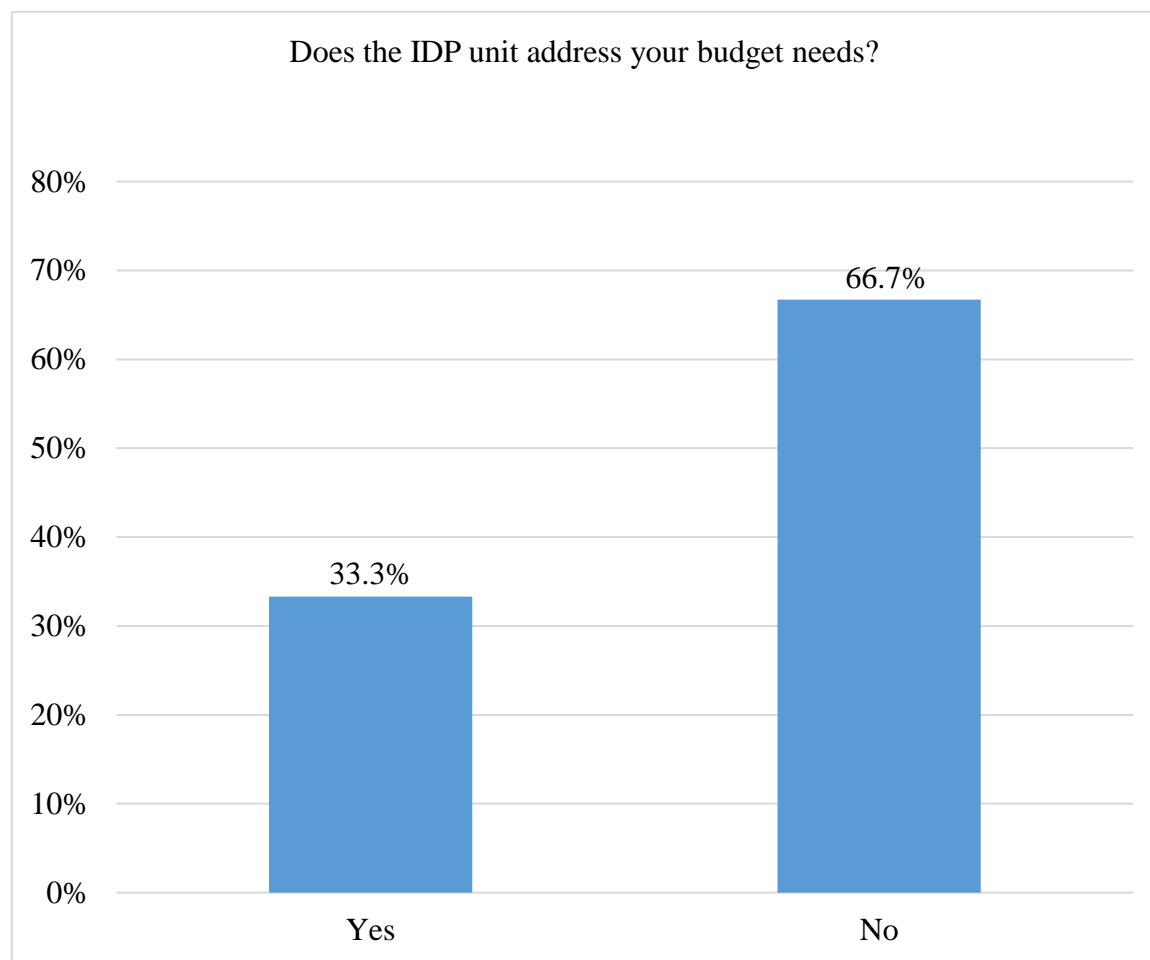
The three government spheres had executed their housing responsibilities individually during the implementation of the housing project under study. The study revealed that each government sphere had executed its housing mandatory responsibilities during housing launches and the housing project implementation. During the implementation of the

project processes, each government sphere had its own role to play. The BLM housing officials were responsible for evaluating the implementation process. One of the principal aims of monitoring and evaluating housing development project is for diagnostic and accountability purposes – see section 2.2. The MPDHS, as the principal, was responsible for contracting the housing service provider (agent) and for payments to the housing service provider while the NDHS was responsible for determining the quality of the houses and compliance to national housing building standards on the part of the agent (contractors). As explained in section 5.4.5, the allocated houses had defects although the NDHS was supposed to work closely with the National Home Builders Registration Council (NHBRC). The major role of this council is to inspect houses which have been built to ensure that they meet the building standards before they are handed over to the targeted beneficiaries – see section 3.5.4.

This council (NHBRC) is one of the entities that report to the Minister of the NDHS and it should provide the housing beneficiaries with a warranty protection against housing defects caused by the failure of builders to comply with the agreed upon obligations and also hold the builders accountable. The NDHS emphasises that the provision of adequate sustainable housing must be expedited (National Department of Human Settlements 2015:17 & 20). In addition to the roles played by the three government sphere, the Housing Consumer Programme, which is responsible for teaching housing beneficiaries on how to take care of the allocated houses involved officials from the three government spheres. Nevertheless, as explained above the study results revealed housing defects. Ward councillors are expected to devote their time to visiting projects' implementation sites (section 3.2.2) and report to the municipal council. The results revealed that 100% of the ward committee members did report all the housing challenges in their wards to the ward councillors. Furthermore, the results revealed that 100% of the officials of the BLM who were responsible for public housing indicated that they used the National Housing Needs Register (NHNR) to capture information on the housing needs of the applicants for the thirty eight (38) wards of the BLM. The NHNR also served as a demand database. This database (NHNR) was also accessed by the MPDHS and NDHS. However, the information

contained in the demand data base is used by the three government spheres to prioritise housing needs individually. This was made clear by the results revealed by probing that the housing budget for a particular financial year was determined by the MPDHS by allocating a certain number of houses to be built in the BLM – see Annexure F. As explained in section 2.5.3, the local government budget forum should be used by the three government spheres to consult on financial matters that affect the local government sphere but, as explained previously, the BLM did not have this forum.

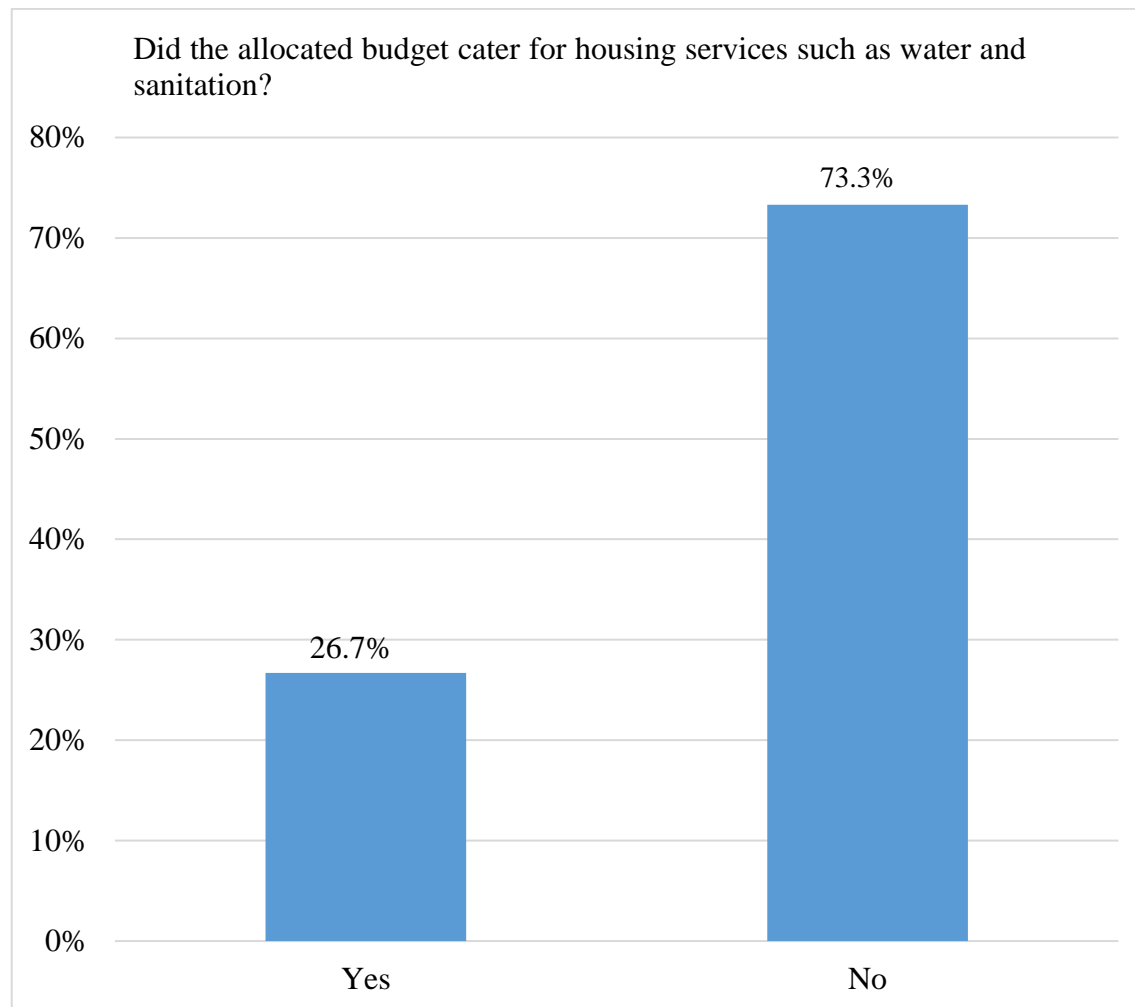
The budget needs of ward councillors



Graph 5.6: Responses regarding the budget needs of the ward councillors

Source: Compiled by the researcher, 2016

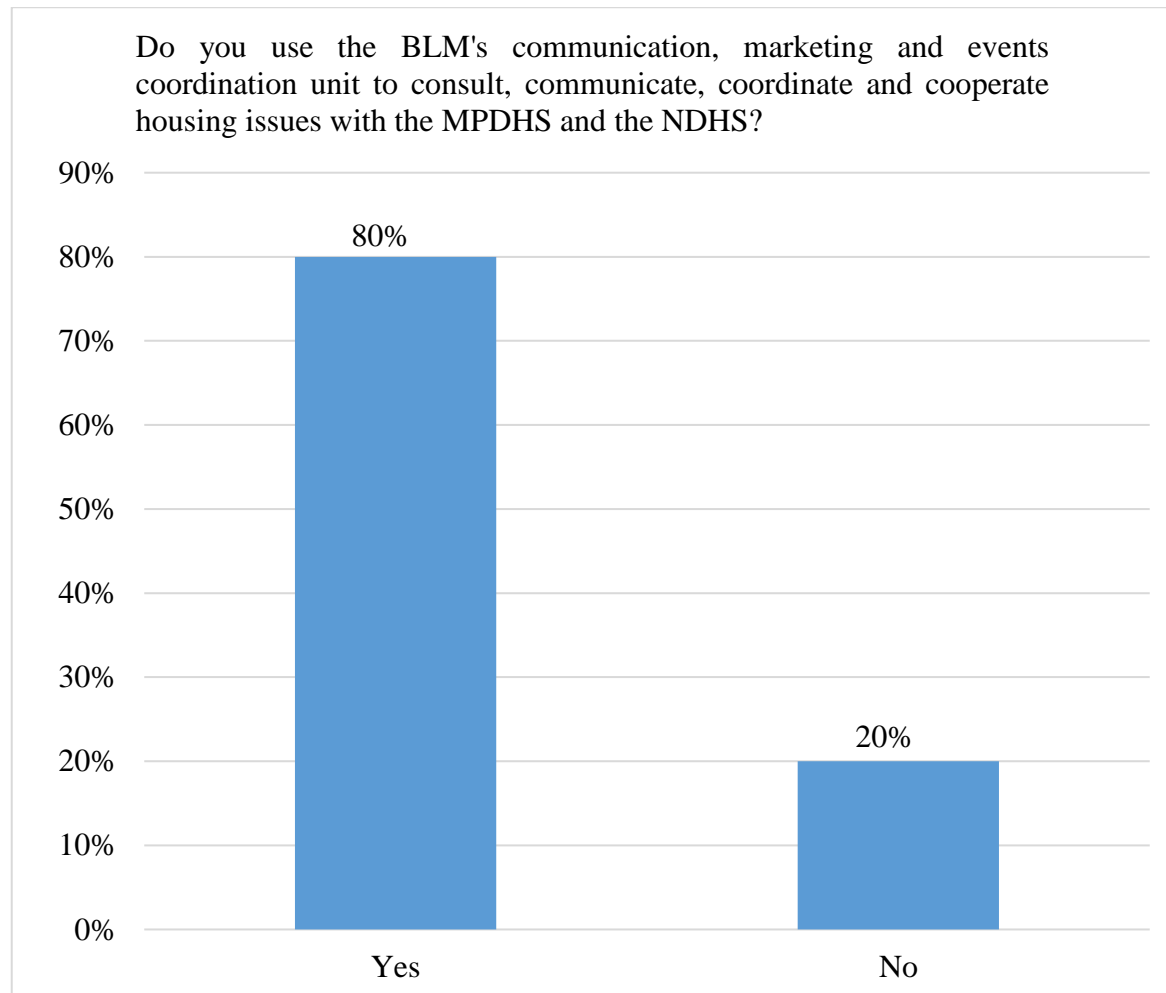
Allocated budget for housing services



Graph 5.7: Responses regarding the budget allocated for housing services such as water and sanitation

Source: Compiled by the researcher, 2016

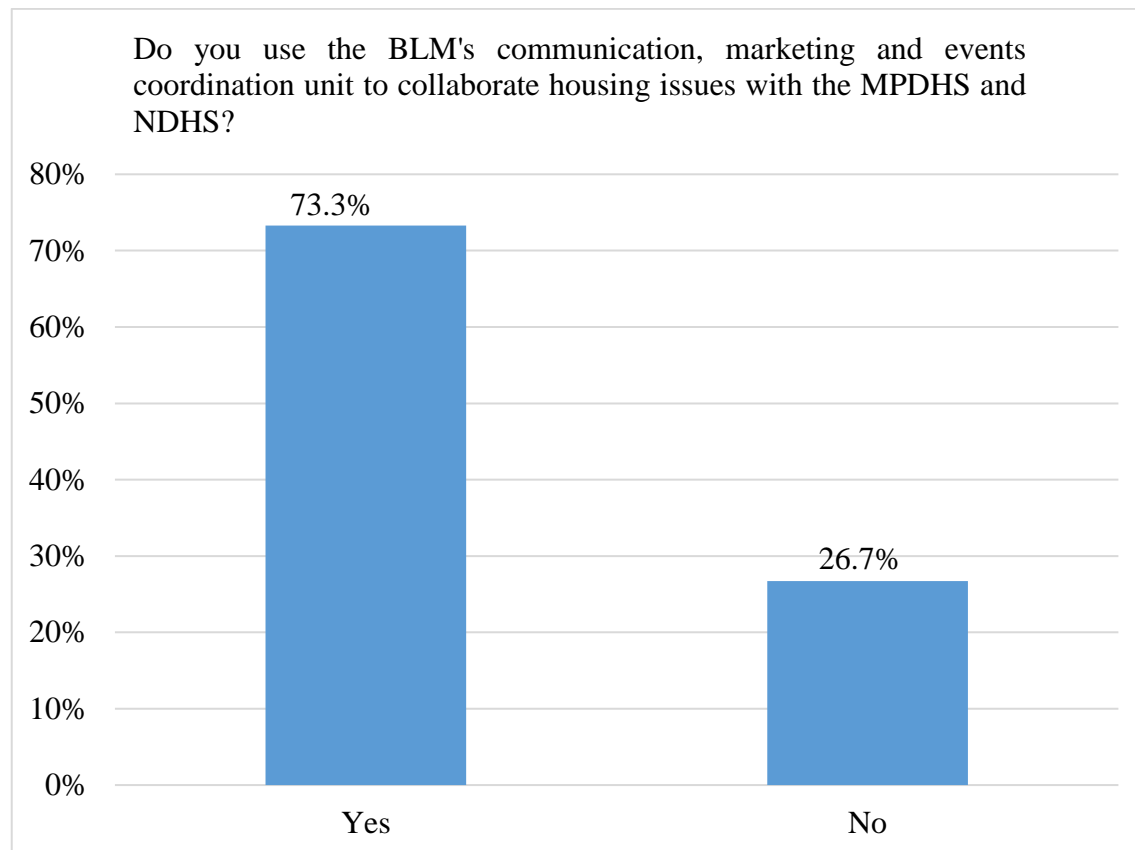
Use of the BLM's communication, marketing and events coordination unit to consult, communicate, coordinate and cooperate on housing issues with the MPDHS and the NDHS



Graph 5.8: Responses regarding the use of the BLM's communication, marketing and events coordination unit to consult, communicate, coordinate and cooperate on housing issues with MPDHS and the NDHS

Source: Compiled by the researcher, 2016

Collaboration on housing issues with the MPDHS and the NDHS



Graph 5.9: Responses regarding the use of the BLM's communication, marketing and events coordination unit to collaborate on housing issues with the MPDHS and the NDHS

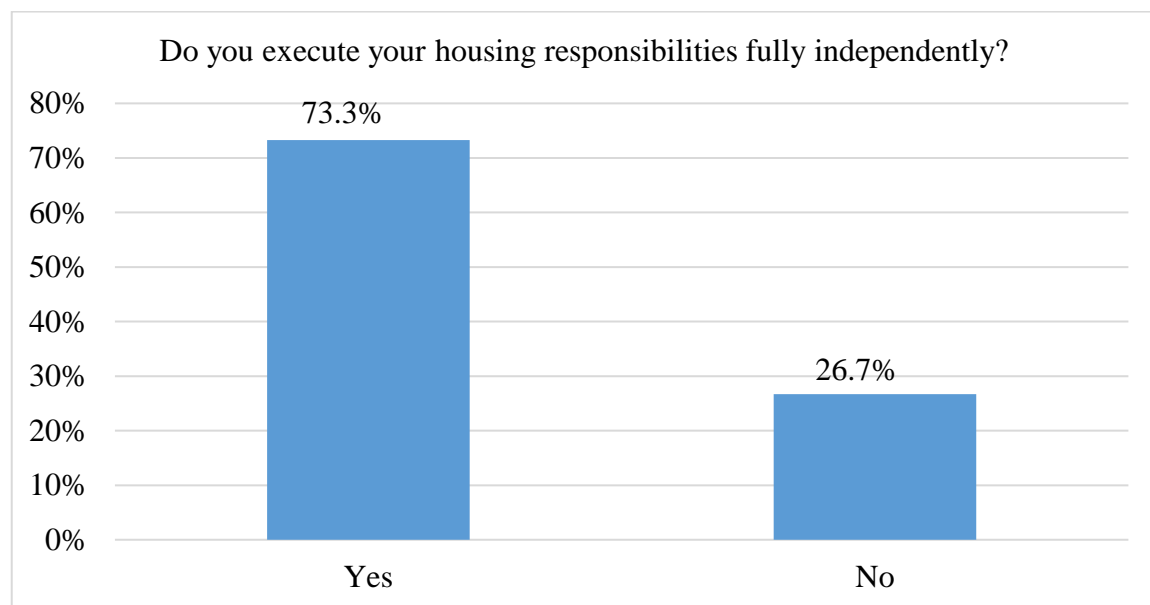
Source: Compiled by the researcher, 2016

5.4.3 Question 3

How effective is the model of democratic decentralisation in providing housing services in the BLM?

The results revealed that 100% of the ward councillors were of the opinion that their housing roles and responsibilities were clear to them. However, as regards the implementation of their housing roles and responsibilities independently, 26.7% indicated that they were hampered in carrying out their housing roles and responsibilities while 73.3% maintained that they were able to execute their housing activities independently – see Graph 5.10.

Execution of housing responsibilities fully independently

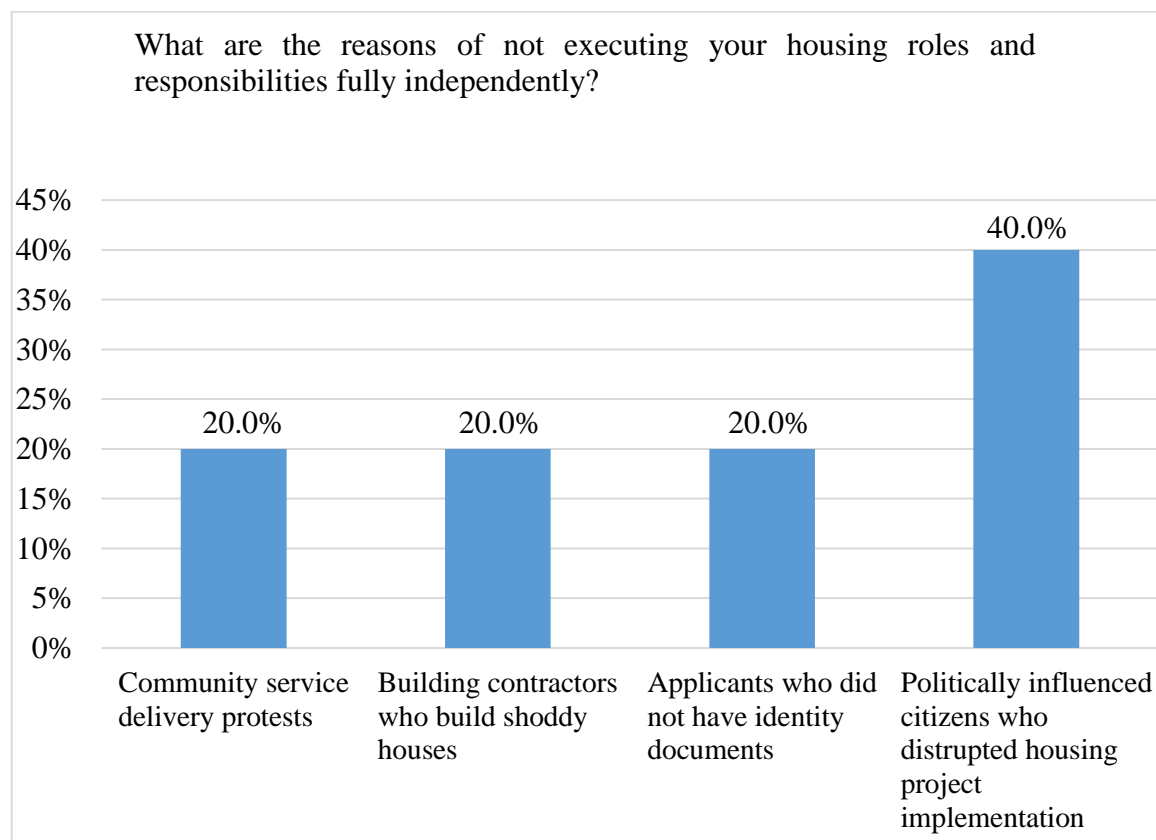


Graph 5.10: Responses regarding the execution of housing responsibilities fully independently

Source: Compiled by the researcher, 2016

The reasons that prevented the ward councillors from executing of their housing roles and responsibilities independently and as revealed by the results included the following: (a) 20% – community service delivery protests, (b) 20% – building contractors who built shoddy houses, (c) 20% – applicants who qualified for public houses but did not have identity (ID) books and (d) 40% – politically influenced groups of citizens who disrupted the implementation of housing projects in their wards or villages – see Graph 5.11.

Reasons that hampered ward councillors in executing their housing roles and responsibilities independently

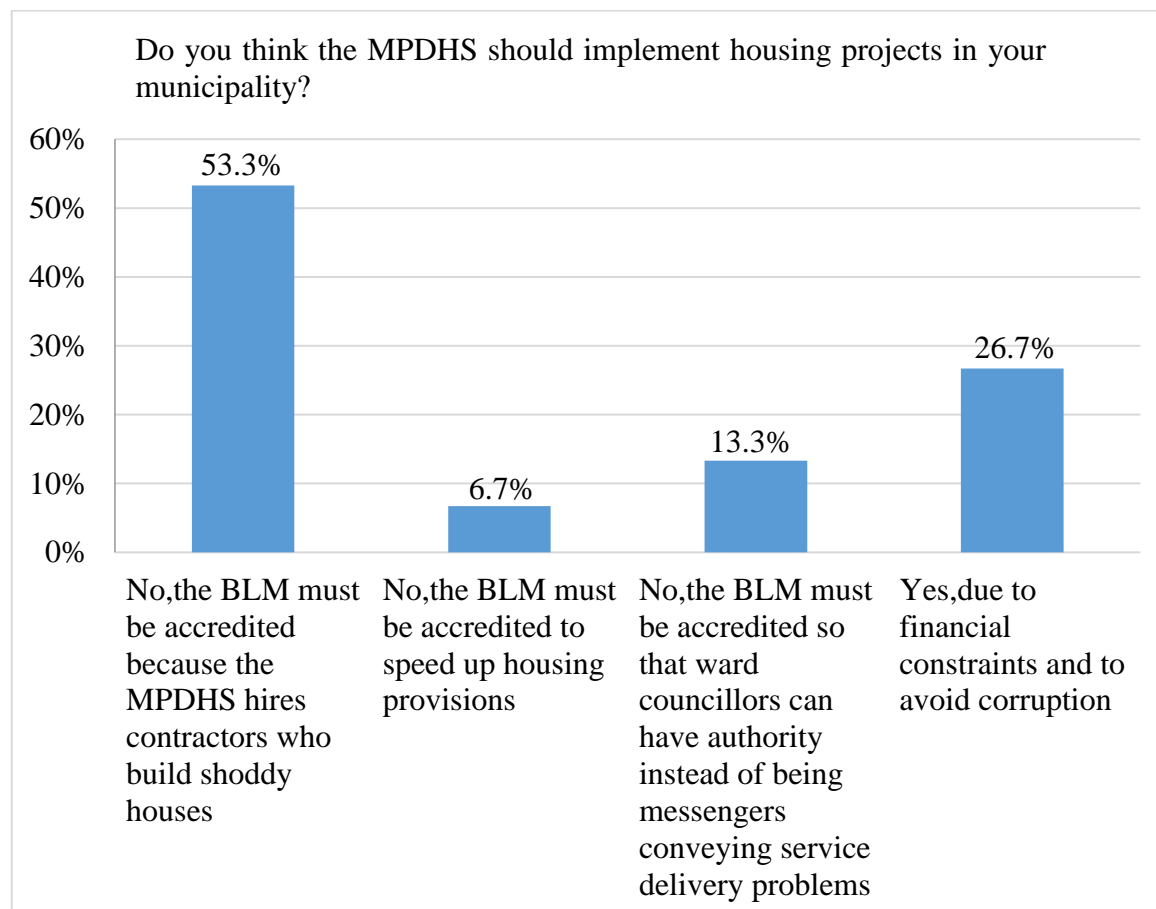


Graph 5.11: Reasons that hampered ward councillors in executing their housing roles and responsibilities independently

Source: Compiled by the researcher, 2016

The results revealed that 53.3% of the ward councillors indicated that the BLM should be accredited because the MPDHS had hired contractors (agents) who had built shoddy houses and, in some instances, not even completed building the contracted houses, 13.3 % of the ward councillors indicated that the BLM should be accredited so that ward councillors would have authority instead of being merely the messengers conveying service delivery problems, ensuring that they would be accountable to the other two government spheres (national and provincial) and also to the housing beneficiaries, 6.7% indicated that the BLM should be accredited to speed up housing service delivery while 26.7% indicated that the MPDHS should continue to implement housing projects in the BLM because of severe financial constraints and to avoid creating opportunities for corruption – see Graph 5.12.

Implementation of housing projects by the MPDHS in the BLM



Graph 5.12: The opinions of ward councillors on the implementation of housing projects by the MPDHS in the BLM

Source: Compiled by the researcher, 2016

In conclusion, the decentralisation model adopted by the democratic government (section 1.1) has clearly been ineffective in providing adequate housing in the BLM because the data collected during the study also provided evidence of defects in the houses – see section 5.4.3. In addition, the budget for the housing project under study was managed by the MPDHS. Section 16(a) of the Intergovernmental Fiscal Relations Act (97 of 1997) requires the three government spheres to consult on any fiscal, budgeting and financial matters affecting local government while the local government budget forum should be used to eradicate municipal backlogs and solve social transformation problems. The mayor must provide political direction on how the budgetary process must be carried out to ensure that the needs of citizens are met. The results revealed that 100% of ward councillors were not serving in this forum (local government budget forum) because, as explained in section 5.4.2, the BLM did not have this forum. It may, thus, be concluded that the BLM is not fiscally decentralised despite the fact that fiscal decentralisation underpins all forms of decentralisation – see section 2.5.3.

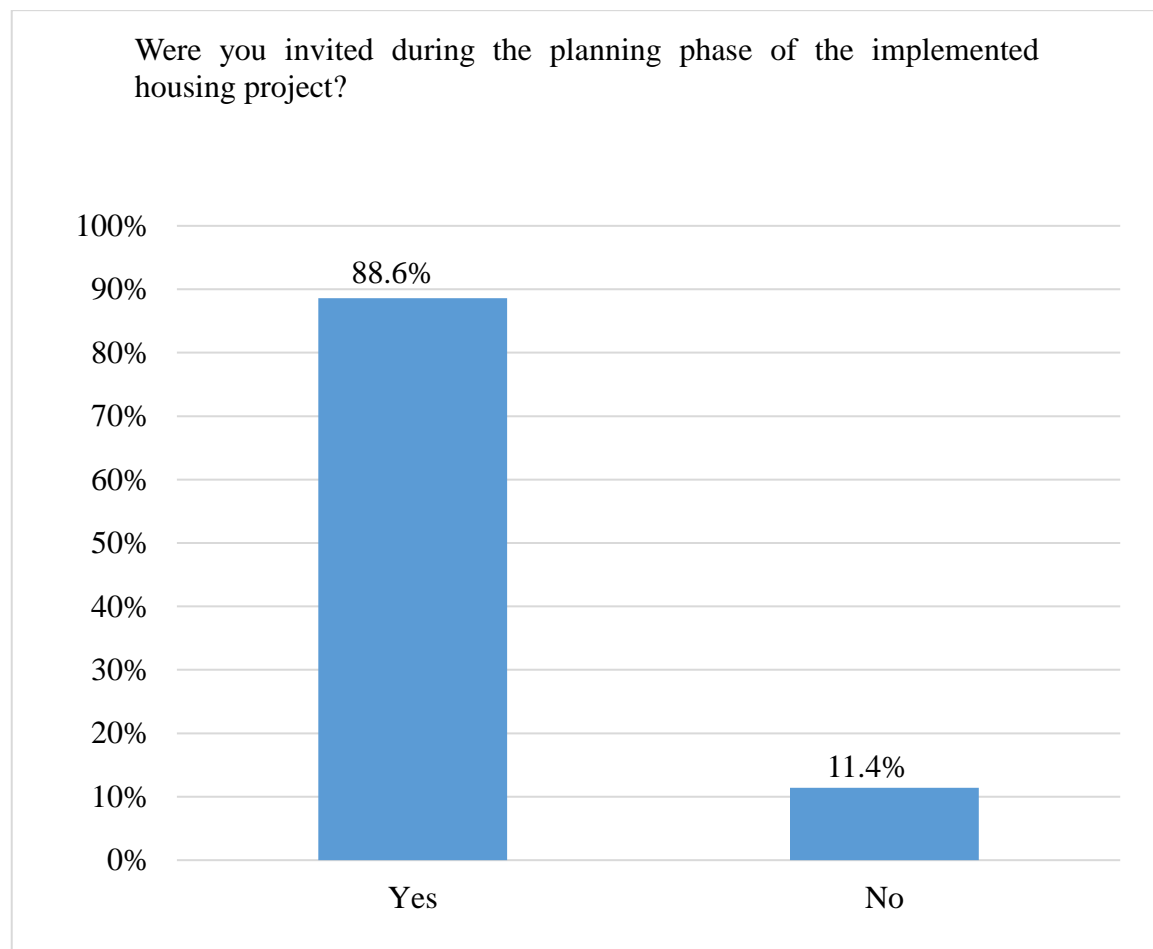
5.4.4 Question 4

Which structures were used by the Bushbuckridge Local Municipality to involve the beneficiaries of the Construction of the Youth Houses 50 Project, Project ID BLMHL005 in the initiation and implementation phases of the project?

The results revealed that 100% of the ward committee members interviewed indicated that they held quarterly meetings with the citizens of ward 31 (Thulamahashe C). In addition,

they also conducted door-to-door campaigns to communicate about housing issues and urgent matters with communities – see Annexure F. The study found that 88.6% of the housing beneficiaries had been invited to meetings during the planning phase of the housing project while 11.4% had not been invited – see Graph 5.13.

Invitation during planning phase of the housing project

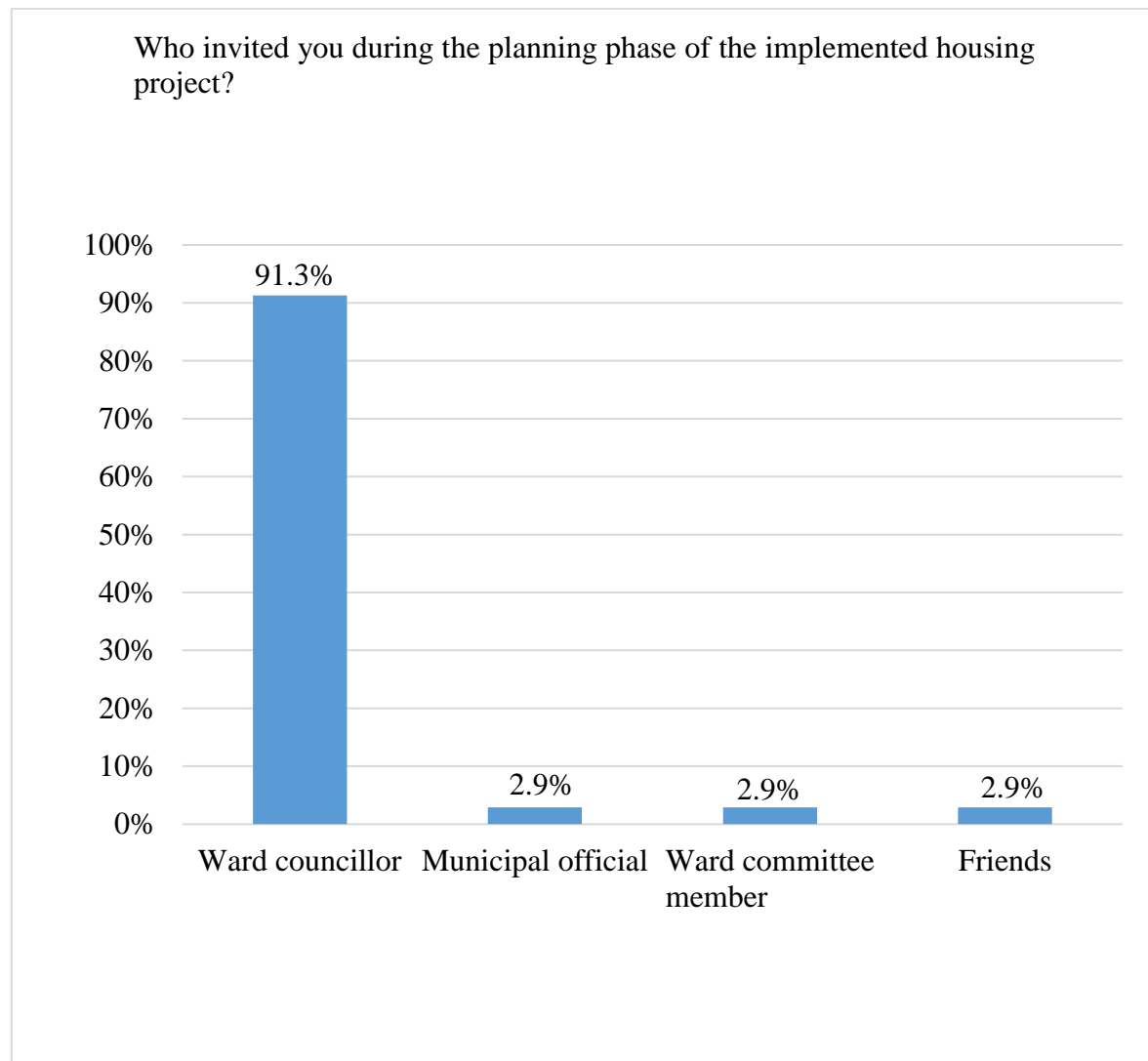


Graph 5.13: Responses about being invited during the planning phase of the housing project

Source: Compiled by the researcher, 2016

The study found that 91.3% of the beneficiaries had been invited to the planning phase meeting by the ward councillor, 2.9% had been invited by the BLM municipal official, 2.9% had been invited by the ward committee member and 2.9% by friends or neighbour – Graph 5.14). In addition, 60.0% of the beneficiaries had not been given an opportunity to mention their housing needs during the planning phase while 40% had been given an opportunity to mention their housing needs during the planning phase – see Graph 5.15. It also emerged that 68.6% had participated in the implementation of the project while 31.4% had not participated – see Graph 5.16. On the other hand, 88.6% of the beneficiaries had participated in the allocation phase of the completed houses while 11.4% had not participated in the allocation phase of the completed houses – see Graph 5.17. The study also found that 82.4% had indicated that the allocation of the completed houses to the targeted beneficiaries had been fair while 17.6% indicated that the allocation had not been fair – see Graph 5.18. 97.1% had indicated that they consulted the ward councillor if they encountered any housing problems while 2.9% consulted the municipal official – see Graph 5.19. It is clear, based on these results, that public participation was being effectively promoted at the ward level through quarterly meetings and door-to-door campaigns. As explained in section 1.2, public participation is one of the requirements of decentralisation. It builds good relationships between government and citizens, it provides the beneficiaries of services with an opportunity of stating their needs (section 1.2.2) and, in fact, it is one of the fundamental aspects of a democratic state (section 2.3). It is essential that citizens are involved in participatory budgeting processes – see section 2.5.3.

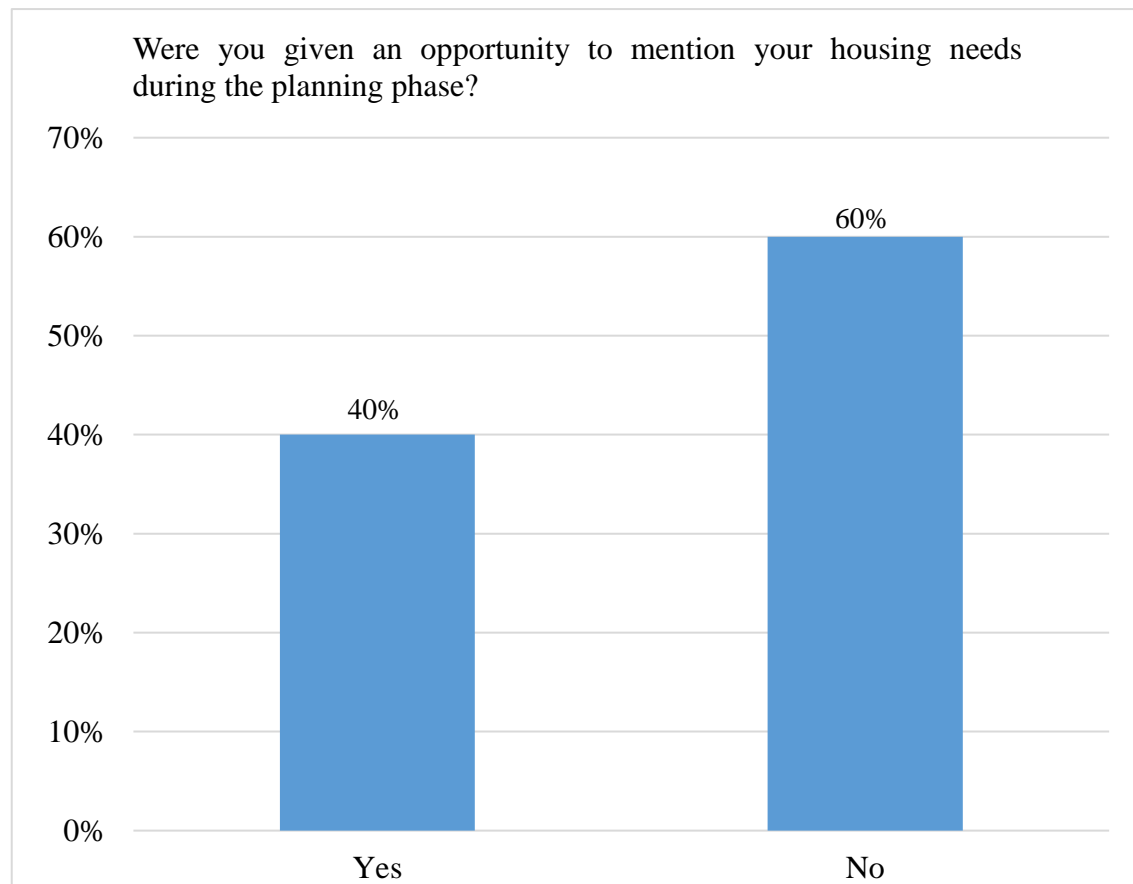
Participation of beneficiaries in the planning phase



Graph 5.14: Responses regarding who had invited the beneficiaries during the planning phase

Source: Compiled by the researcher, 2016

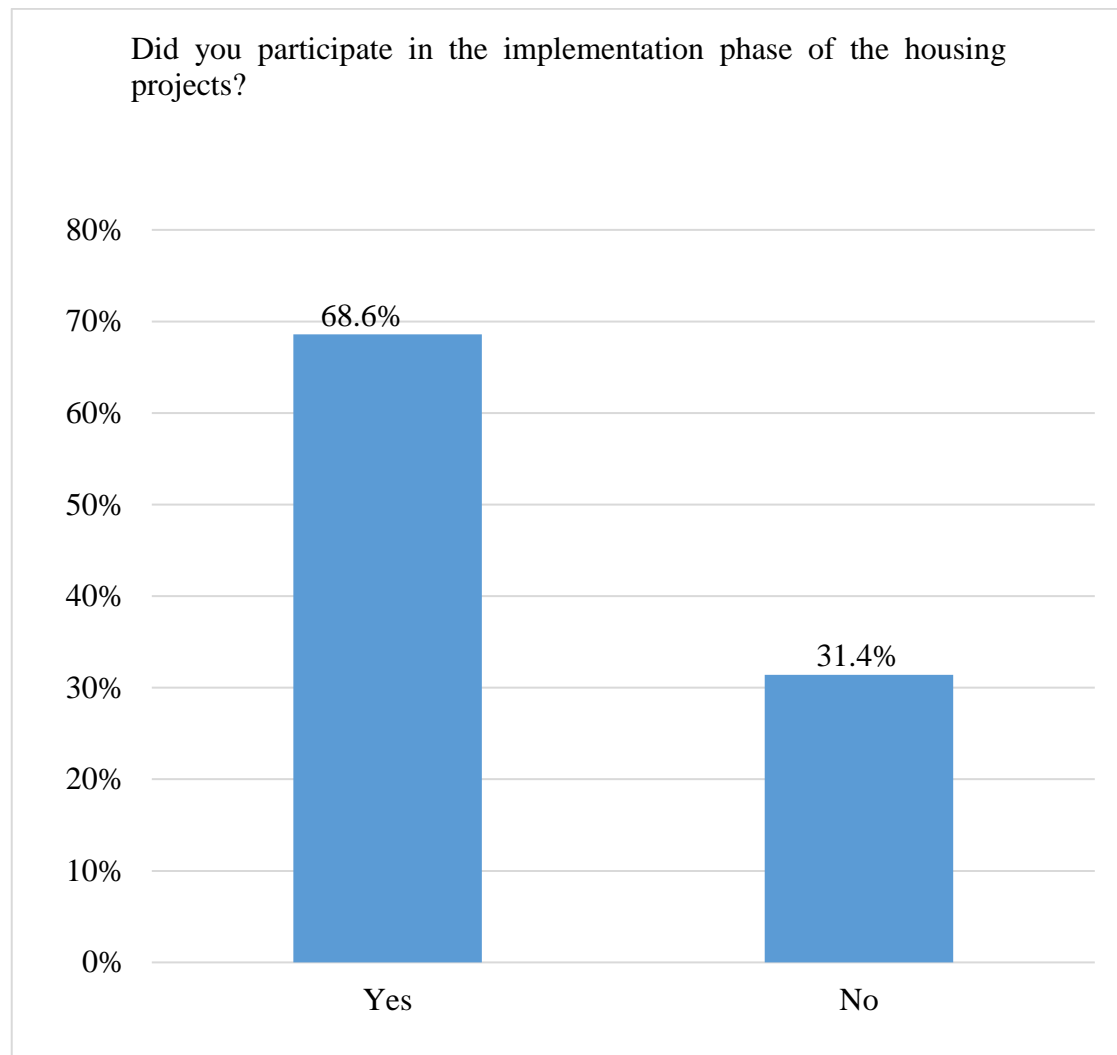
Opportunity for beneficiaries to mention their housing needs during the planning phase



Graph 5.15: Responses to determine whether the beneficiaries had been given an opportunity to mention their housing needs during the planning phase

Source: Compiled by the researcher, 2016

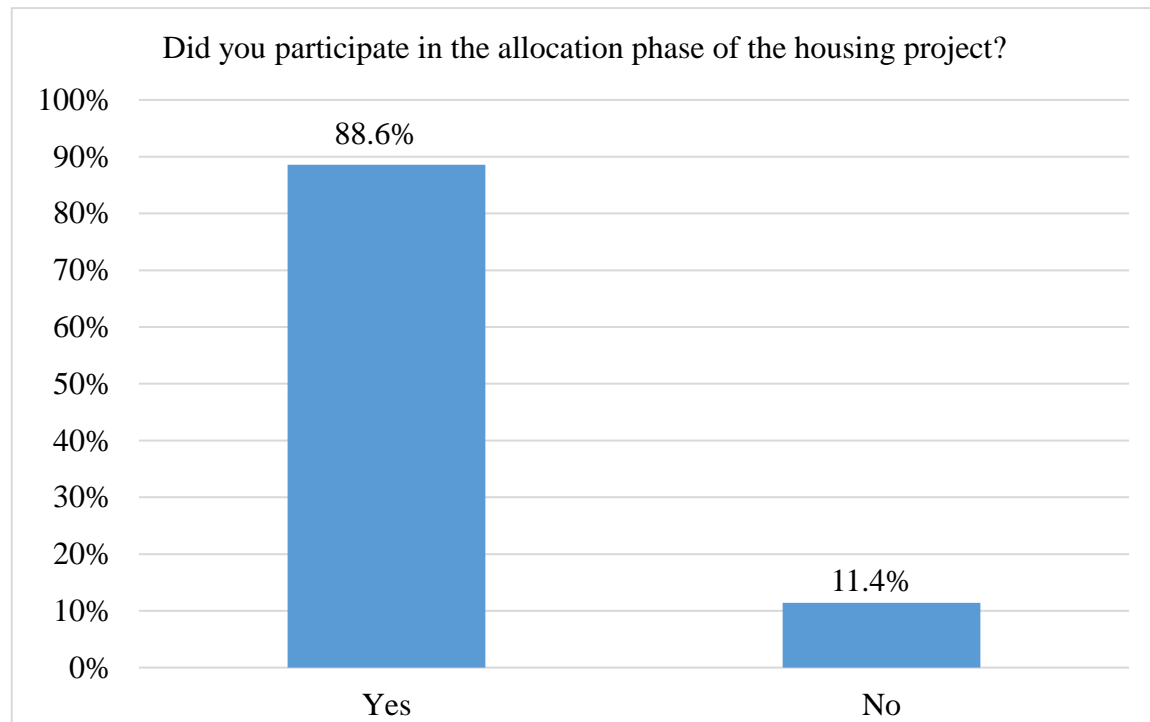
Participation in the implementation phase of the housing project



Graph 5.16: Responses regarding participation during the implementation phase of the project

Source: Compiled by the researcher, 2016

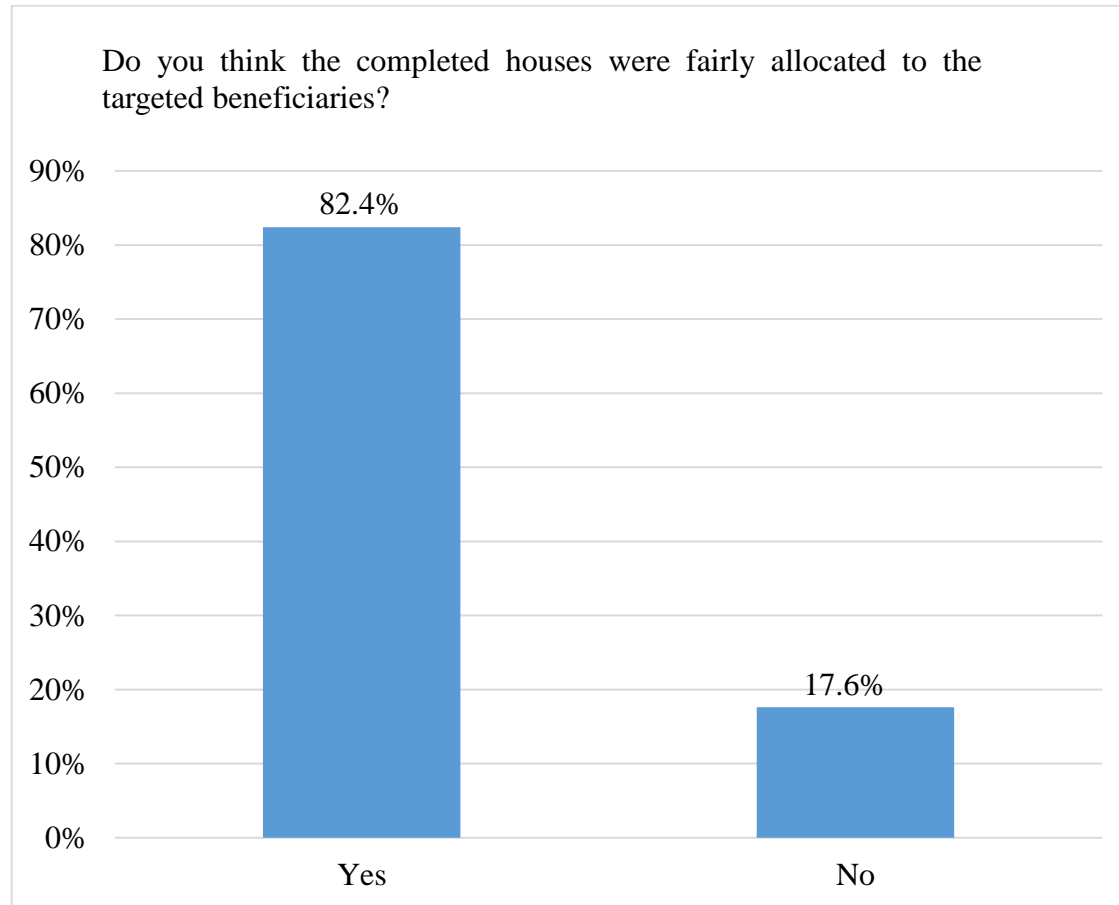
Participation in the allocation phase of the housing project



Graph 5.17: Responses regarding participation during allocation phase

Source: Compiled by the researcher, 2016

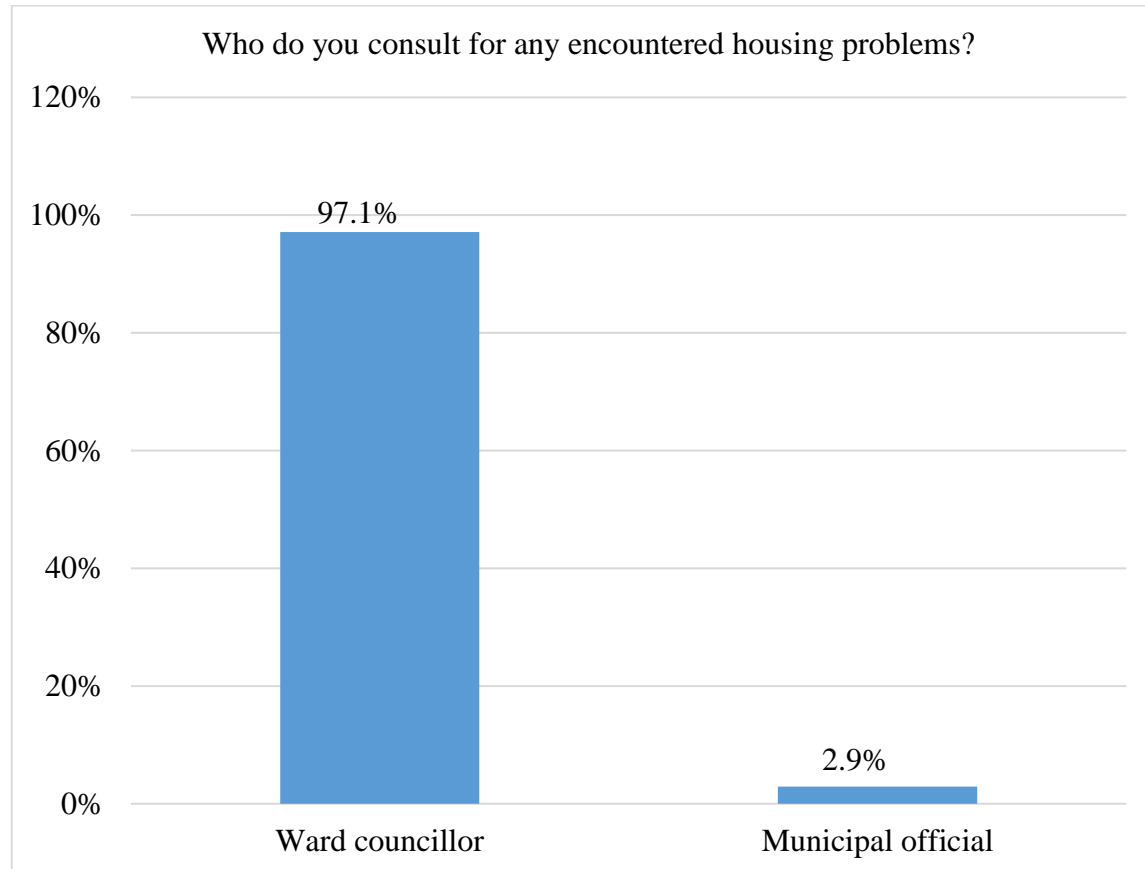
Allocation of the completed houses to the intended beneficiaries



Graph 5.18: Responses as to whether the completed houses had been allocated fairly to the targeted beneficiaries

Source: Compiled by the researcher, 2016

Consultation regarding housing problems encountered



Graph 5.19: Responses regarding whom the beneficiaries had consulted if they encountered housing problems

Source: Compiled by the researcher, 2016

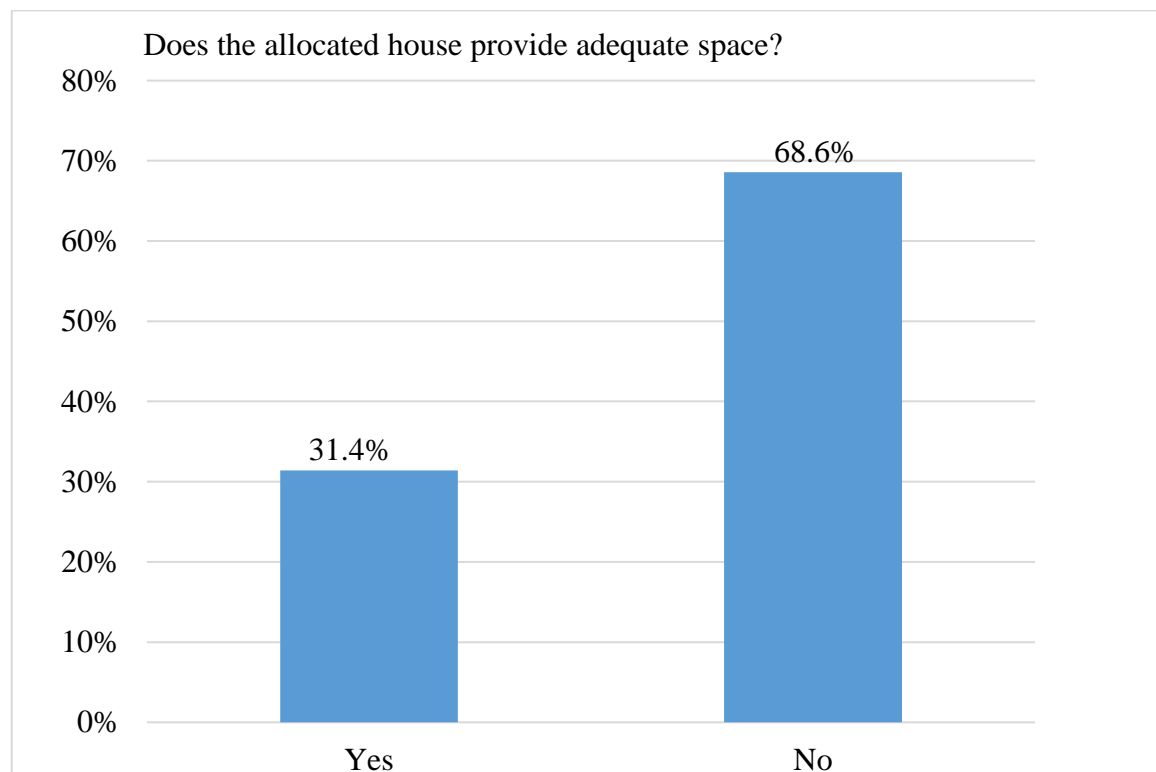
5.4.5 Question 5

How adequate are the houses provided in the BLM (Thulamahashe C, ward 31)?

This question was answered by the responses of the beneficiaries of the Construction of the Youth Houses 50 Project. According to Weicher (2012:6), the lives of poor people should be improved by being given opportunities to live in decent housing while they

should also be provided with housing assistance in respect of the other housing services. The standardised requirements for an adequate house were discussed in section 1.2.3. The results revealed that 100% of the beneficiaries: (a) had no security of tenure and that there were errors in their title deeds which had been returned to the MPDHS to be corrected, (b) had clean drinking water, (c) had electricity and (d) adequate sanitation. Provision of sufficient space is one of the minimum standards of an adequate house, as also discussed in section 1.2.3, however, 68.6% indicated that the space was inadequate although 31.4% appreciated the space they had – see Graph 5.20.

Adequate space in the houses allocated

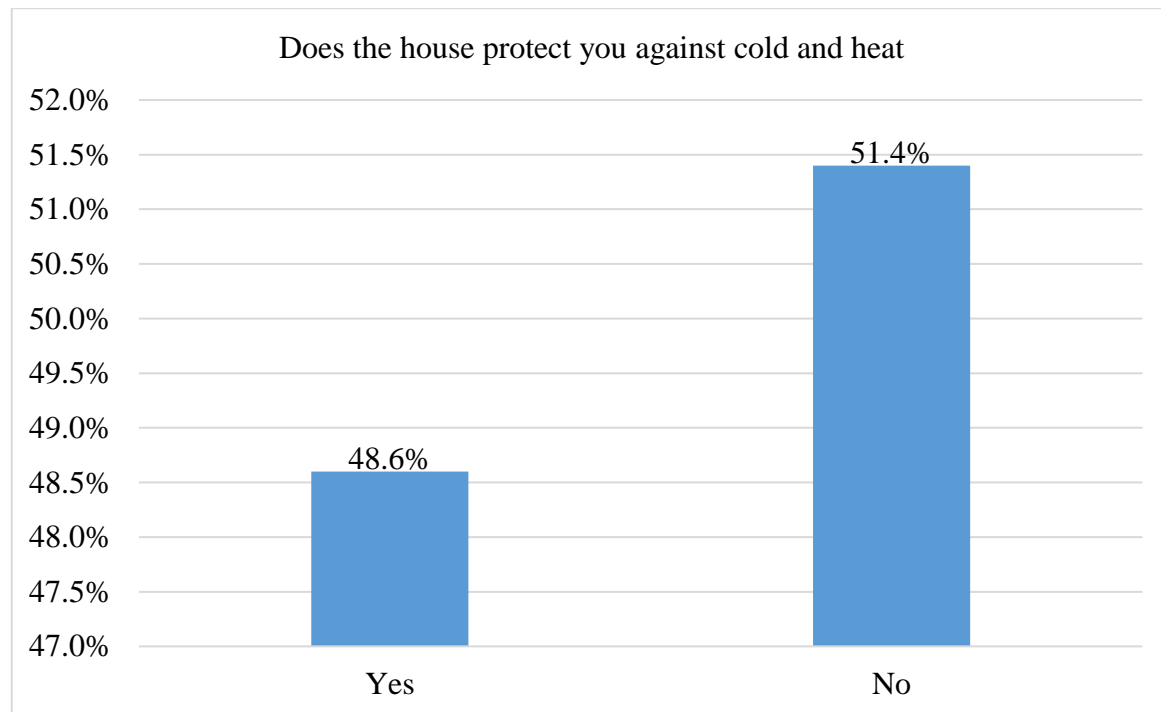


Graph 5.20: Responses on the adequate space of the houses allocated

Source: Compiled by the researcher, 2016

An adequate house must provide protection against cold and heat – see section 1.2.3. The study found that 48.6% of the housing beneficiaries had indicated that they were protected against the cold and heat while 51.4% indicated that they were not protected from cold and heat – see Graph 5.21.

Protection against cold and heat

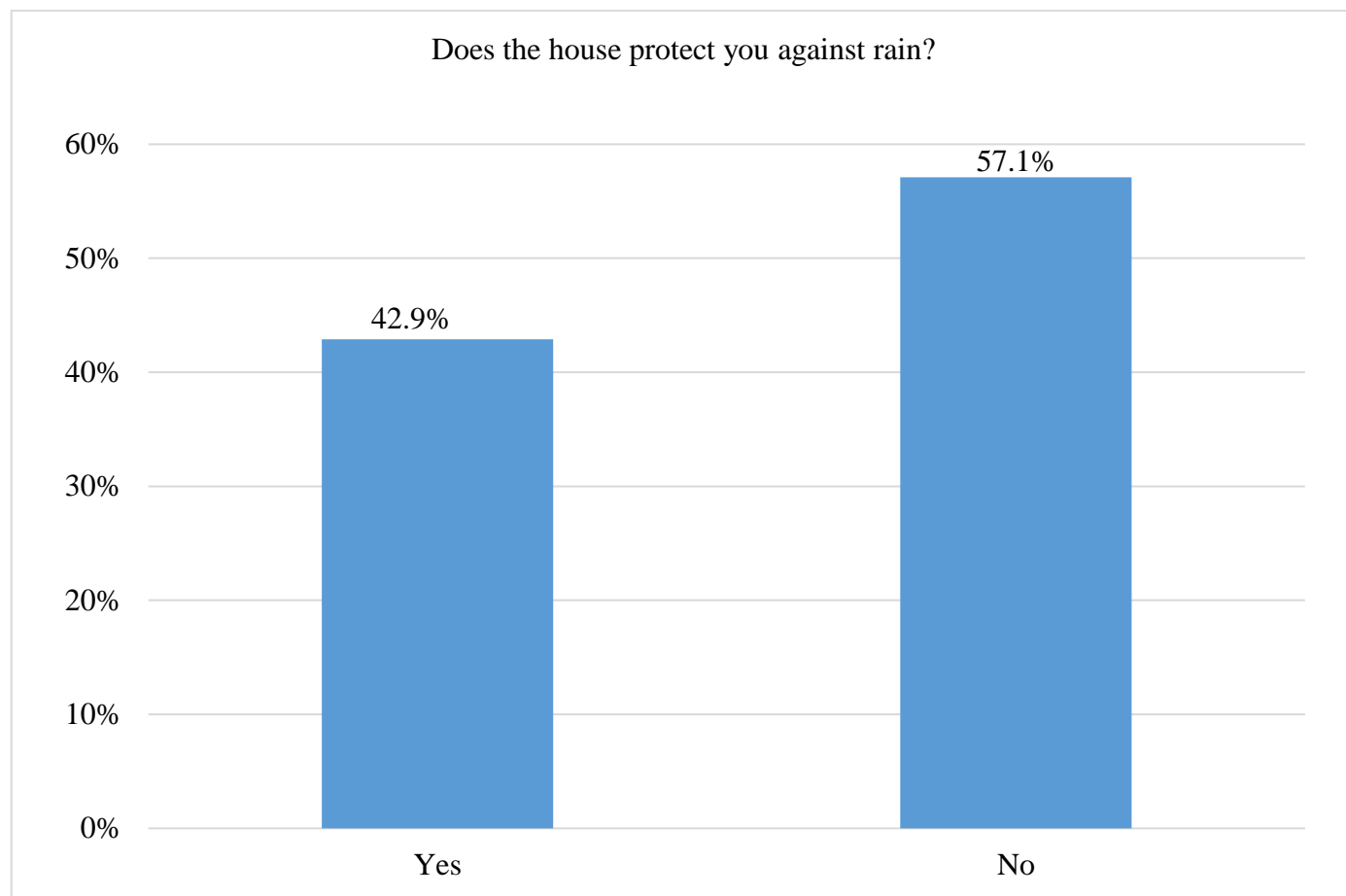


Graph 5.21: Responses on protection against cold and heat

Source: Compiled by the researcher, 2016

The findings revealed that 57.1% of the housing beneficiaries had indicated that they were not protected from rain because of leaking roofs and open spaces at the top and bottom of entrance doors while 42.9% indicated that they were protected against the rain – see Graph 5.22.

Protection against rain

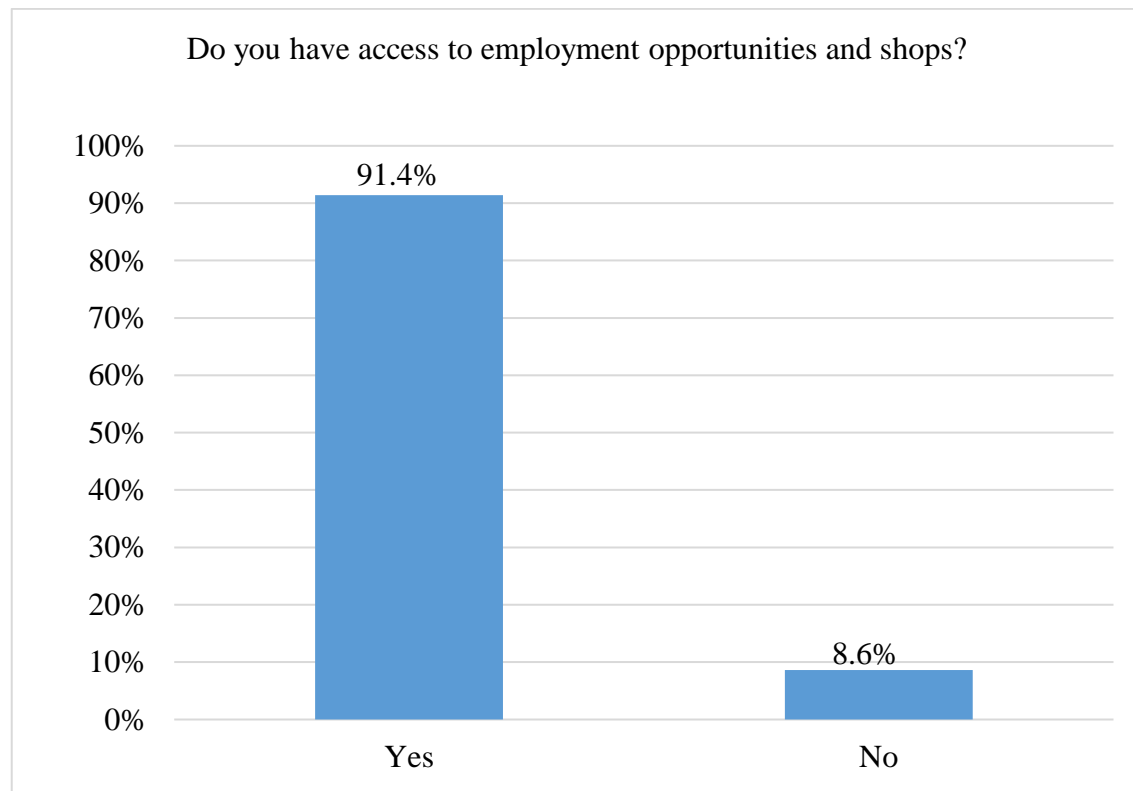


Graph 5.22: Responses on protection against rain

Source: Compiled by the researcher, 2016

It emerged that 91.4% had indicated that they had access to both employment opportunities and the shops while 8.6% indicated that the employment opportunities and the shops were inaccessible and that they had to use transport – see Graph 5.23.

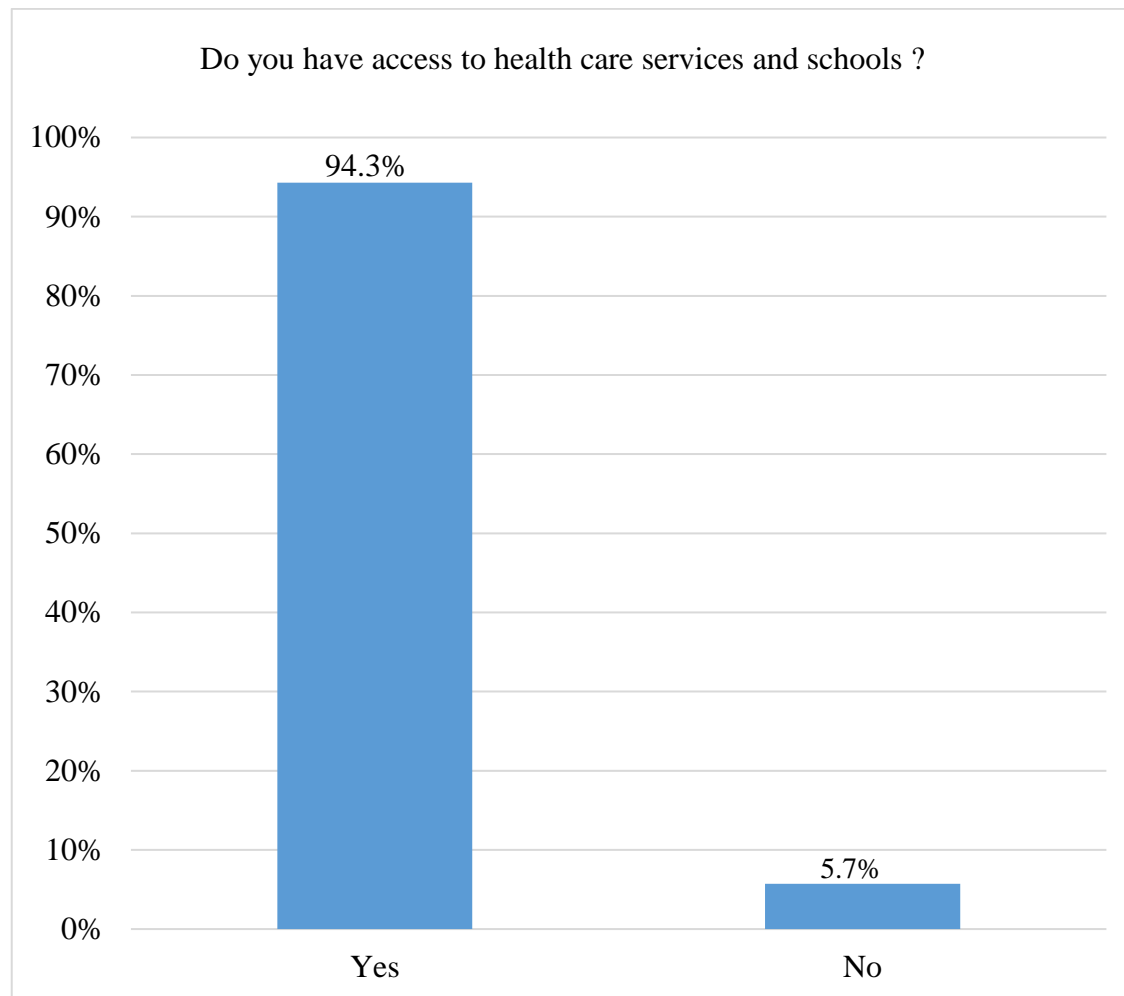
Access to employment opportunities and shops



Graph 5.23: Responses on access to employment opportunities and shops

Source: Compiled by the researcher, 2016

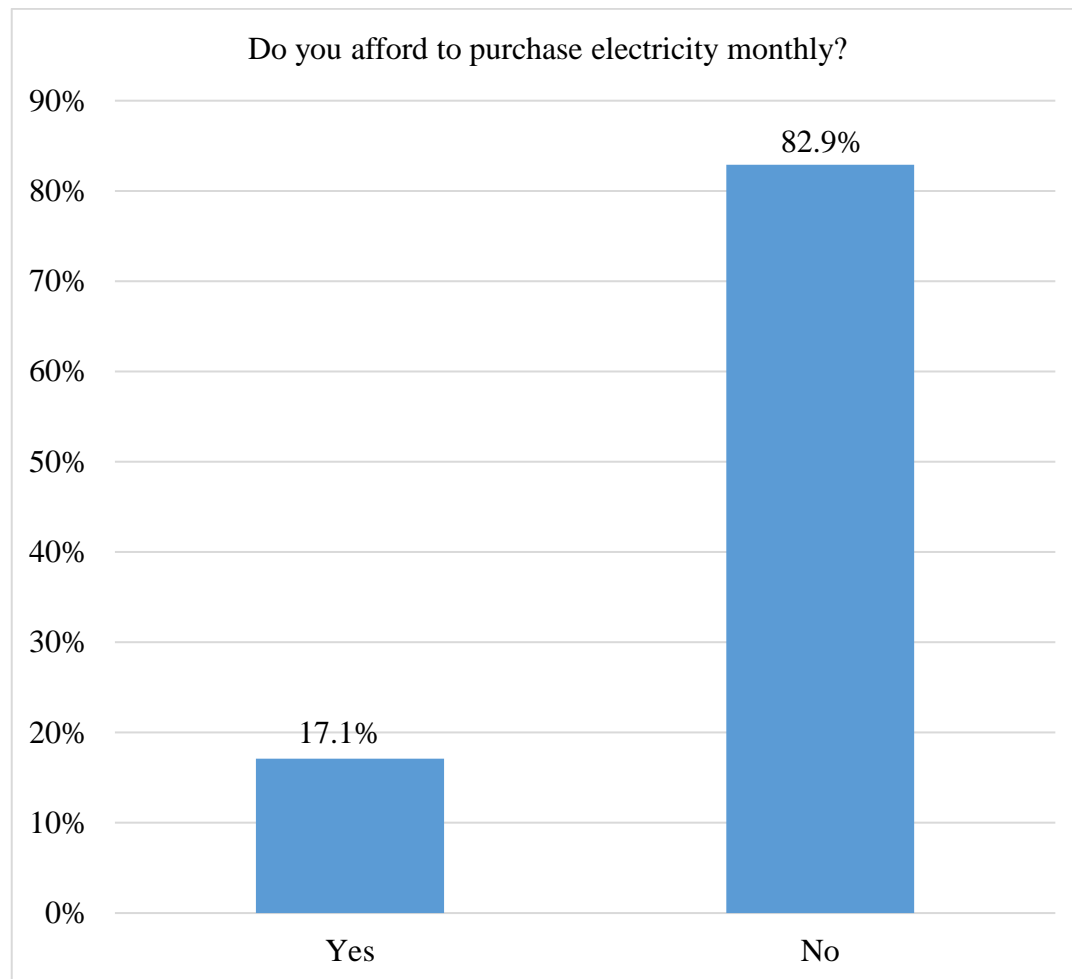
Access to health care services and schools



Graph 5.24: Responses on access to health care services and schools

Source: Compiled by the researcher, 2016

Monthly purchase of electricity



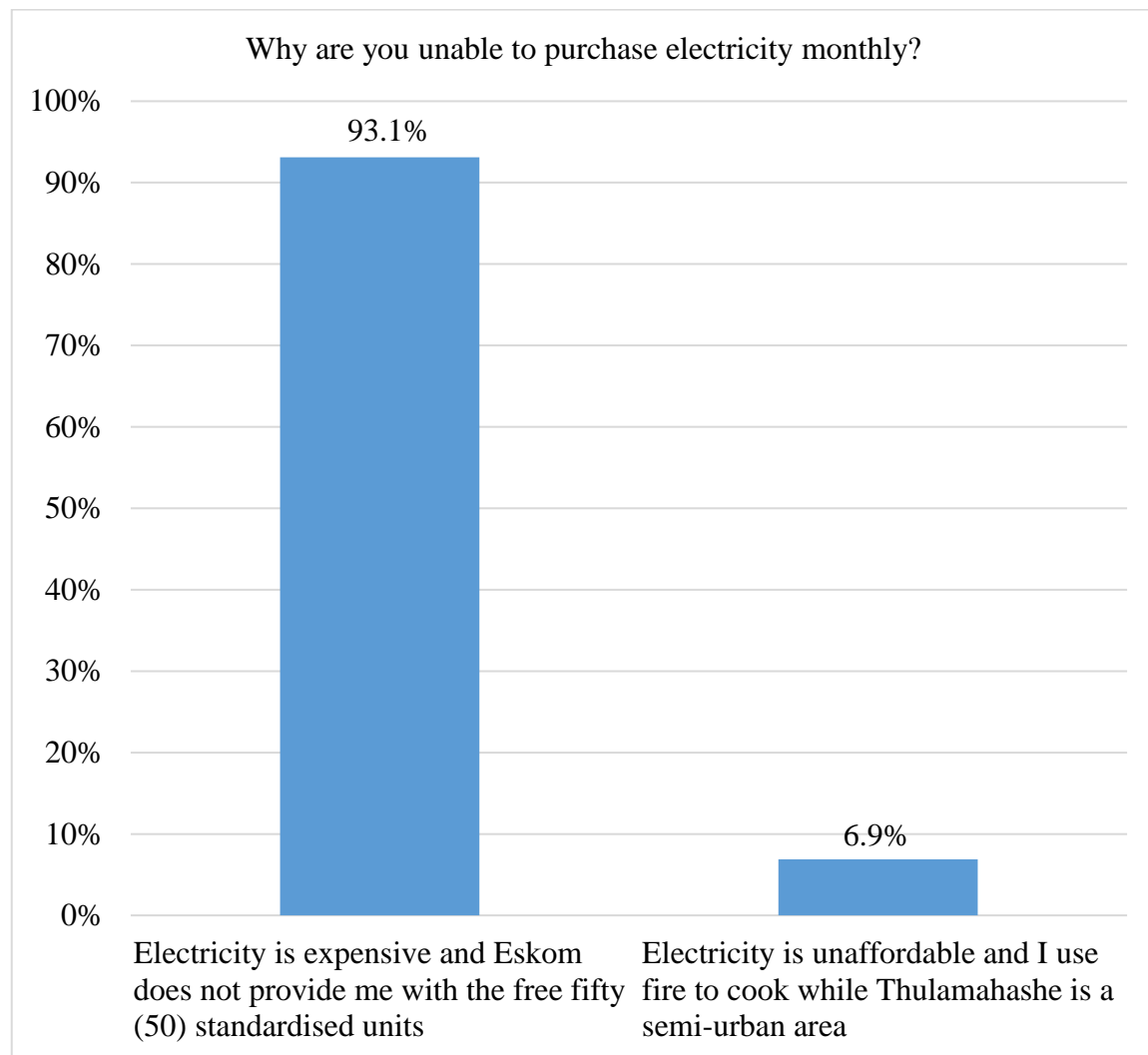
Graph 5.25: Responses on the affordability of purchasing monthly electricity

Source: Compiled by the researcher, 2016

The study found that 94.3% had indicated that they had access to both health care services and schools while 5.7% indicated that they did not have access to health care services and schools – see Graph 5.24. In addition, 100% of the beneficiaries indicated that they did not have access to parks and waste removal services, 100% of the beneficiaries did not pay for sanitation and waste removal services, 82.9% of the beneficiaries indicated that they did not afford to purchase electricity on a monthly basis while 17.1% indicated that electricity was affordable – see Graph 5.25. In addition, 93.1% of the beneficiaries indicated that they

could not afford to purchase electricity on a monthly basis because it was expensive and Eskom did not provide them with the free fifty (50) standardised basic units while 6.9% indicated that electricity was unaffordable and they cooked on fires while Thulamahashe is a semi-urban area– see Graph 5.26.

Unaffordability of electricity

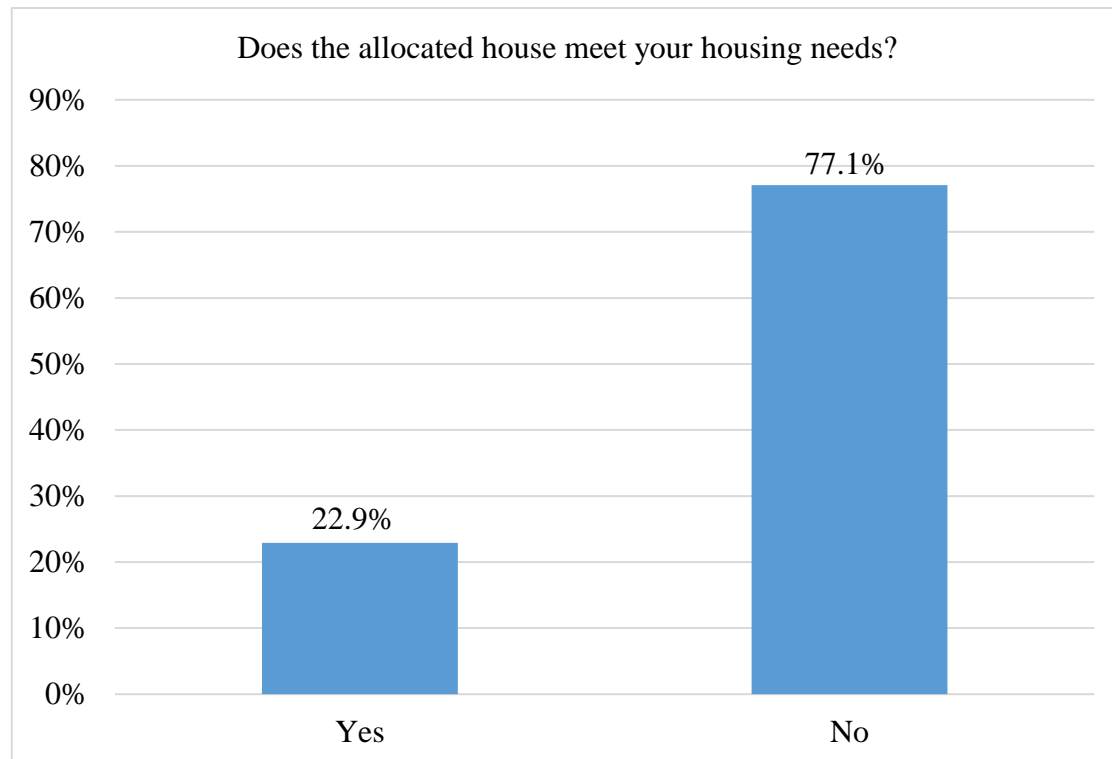


Graph 5.26: Responses regarding the unaffordability of electricity

Source: Compiled by the researcher, 2016

The results revealed that 77.1% had indicated that the houses allocated did not meet their housing needs while 22.9% indicated that they did, in fact, meet their housing needs – see Graph 5.27

Meeting the housing needs of beneficiaries

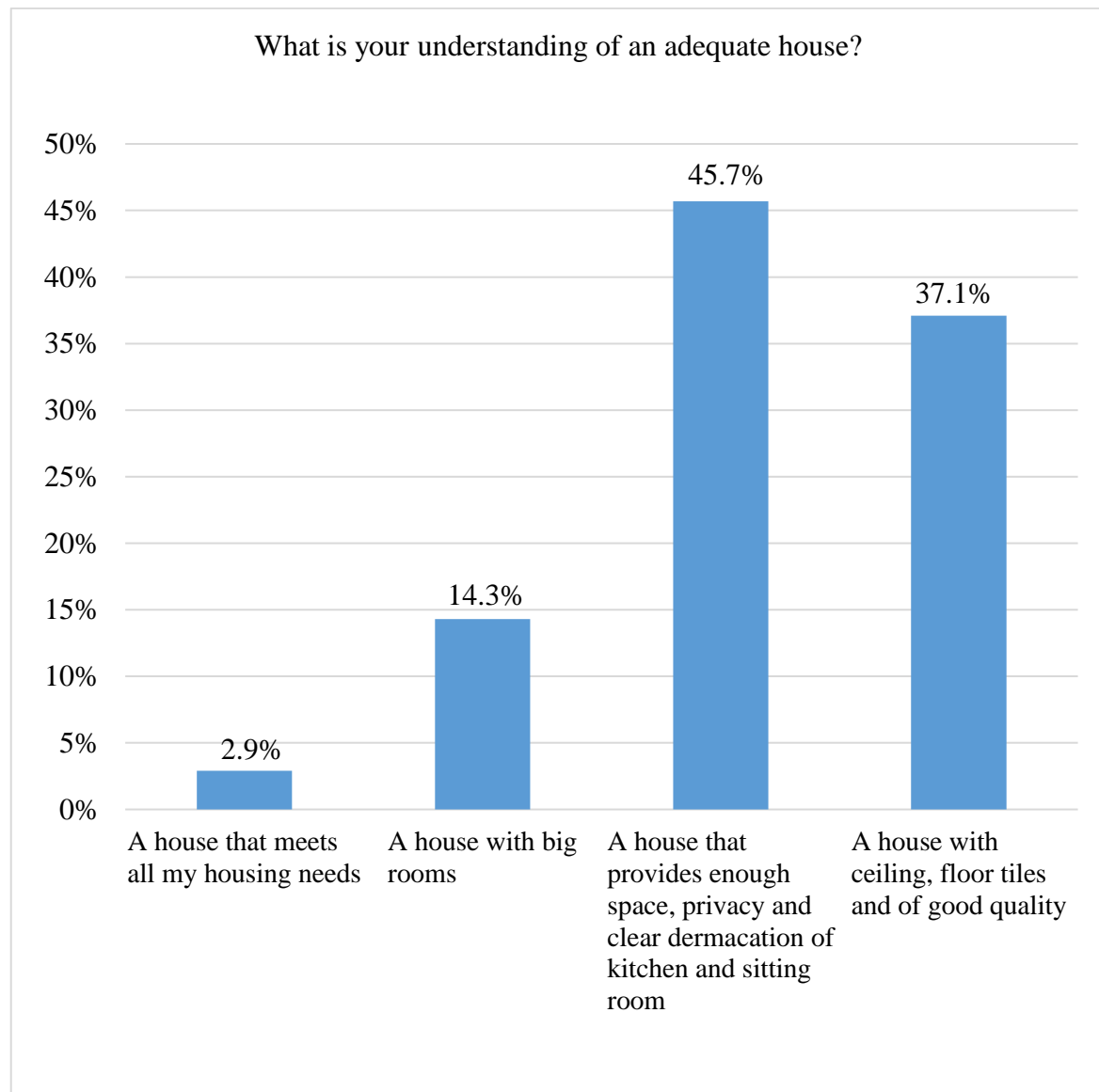


Graph 5.27: Responses regarding houses meeting the housing needs of beneficiaries

Source: Compiled by the researcher, 2016

According to the beneficiaries, an adequate house should: (a) meet all their housing needs (2.9%), (b) have big rooms (14.3%), (c) provide enough space, privacy and a clear demarcation between kitchen and sitting room (45.7%) and (d) a house with ceilings, floor tiles and of good quality (37.1%) – see Graph 5.28

Definition of an adequate house



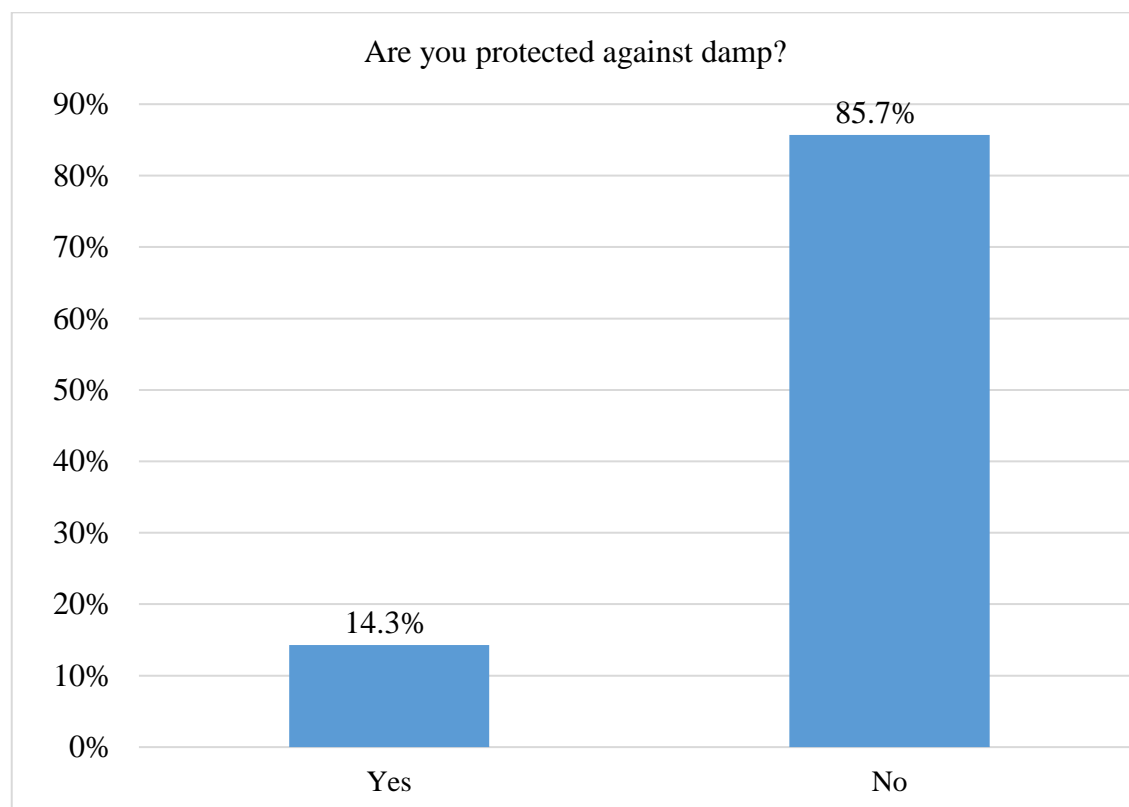
Graph 5.28: Responses regarding the definition of an adequate house

Source: Compiled by the researcher, 2016

Owing to the fact that the houses provided displayed elements of both adequate and inadequate houses, it is thus concluded that they were not adequate at the time of the data collection because for a house to be declared adequate, it must meet all the minimum

standards of an adequate house mentioned in section 1.2.3. As regards the inadequate elements, urgent attention was needed with 85.7% of the beneficiaries indicating that they were not protected from damp and 14.3% indicating that they were protected from damp –, see Graph 5.29. The CRC survey questionnaire was, therefore, developed for use by the BLM citizens to determine the quality of the houses provided and to hold the MPDHS, the BLM and the service providers (agents) accountable for their actions. This should ensure that the BLM would be held accountability in line with one of its core values of public administration indicated in its vision and mission statement (Bushbuckridge Local Municipality 2015:1). It is suggested that the CRC survey questionnaire piloted using the housing project which was the focus of this study.

Protection against damp



Graph 5.29: Responses on protection against damp

Source: Compiled by the researcher, 2016

5.5 Conclusion

It was clear that the cooperative government and intergovernmental relations structures established were not been used effectively by the three government spheres to deliver adequate houses in the BLM. Not one of the ward councillors interviewed was serving on either the national intergovernmental forum/PPC or the provincial intergovernmental forum. The responses of the ward councillors as to who served on the municipal intergovernmental forum were contradictory. The study found that the three spheres of government executed their housing mandatory responsibilities during housing launches and housing project implementation. The BLM used the ward quarterly meetings and door-to-door campaigns to involve the housing beneficiaries during the initiation and implementation phases of the housing project. The houses provided were found to include elements of both adequate and inadequate houses. An adequate must meet all the minimum standards of a house mentioned in section 1.2.3.

CHAPTER 6

FINDINGS, RECOMMENDATIONS AND CONCLUSION

6.1 Introduction

The study findings are discussed in relation to their implications for existing literature and the previously introduced research questions (Bryman 2012:15). The analysis of the data collected and the interpretation of the results were discussed in Chapter 5. The results indicated that: (a) the cooperative government and intergovernmental relations structures were not being used effectively by the three government spheres as regards the provision of adequate housing in the BLM, (b) the three government spheres executed their housing mandatory responsibilities individually during the implementation of housing projects in the BLM, (c) the houses provided were found to include elements of both adequate and inadequate housing and (d) quarterly community meetings and door-to-door campaigns were used to promote public participation in housing projects at the ward level. This chapter contains a summary of the chapters, study findings, areas of further studies, recommendations and conclusions. A brief summary of the discussion contained in the chapter concludes the chapter.

6.2 Summary of the chapters

Chapter 1 provided the background to the study and outlined the research study to be conducted by discussing the purpose of the study, problem statement, research objectives, research scope, limitations of the study, ethical considerations, clarification of terms, an overview of the chapters and the reference technique used.

Chapter 2 presented a literature review aimed at enhancing the understanding of the effectiveness of the cooperative government and intergovernmental relations structures of the three spheres of government in providing adequate housing in the Bushbuckridge Local Municipality (BLM). Since the inception of the democratic government in 1994, the provision of adequate housing has been a mammoth challenge to the democratic government.

Chapter 3 discussed the conceptualisation of government. The roles of stakeholders in the execution of government functions, network governance, public participation, composition of Parliament, the critical structures of cooperative government and intergovernmental relations, ministerial clusters and good government mechanisms were also discussed in the chapter.

Chapter 4 presented the research design and methodology used in the study. The chapter also discussed qualitative, quantitative and mixed methodologies as well as the data collection tools which were employed in order to answer the research questions and achieve the research objectives.

Chapter 5 contains the data analysis and the interpretation of the results as produced by the SPSS version 23 software. The results revealed that the cooperative government and intergovernmental relations structures were not being used effectively by the three spheres of government in providing adequate housing in the BLM.

Chapter 6 discussed the study findings, recommendations and areas of further study. In addition, the chapter also presented the conclusion which was drawn from the data analysis and the interpretation of the results.

Chapter 7 contains the new knowledge generated for the study and the developed accountability tool for the BLM citizens.

6.3 Findings

The findings of a study are recorded after the data which was collected has been analysed and interpreted. It is essential that the research report is organised around an argument that links all aspects of the research process from the problem formulation, through the literature review and the presentation of research methods, to the discussion and conclusion (Bryman 2012:685 & 687). The results revealed that, at the time of the study, not one ward councillor was serving on the national intergovernmental forum, the President's Coordination Council (PCC) and the provincial intergovernmental forum as required by the Intergovernmental Relations Framework Act (13 of 2005). The ward councillors provided contradictory statements on who served on the municipal intergovernmental forum. The study found that 100% of the ward councillors indicated that: (a) their ward committees reported all the housing challenges of their wards to the relevant ward councillors who, in turn, reported to the municipal council, (b) all the relevant stakeholders were involved in the development of the BLM's integrated development plans (IDPs) and (c) their housing roles and responsibilities were clear. The three government spheres executed their housing mandatory responsibilities individually during the implementation of the housing projects in the BLM. In the view of the above, it was concluded that the cooperative government and intergovernmental relations structures were not being used effectively by the three spheres of government to provide adequate housing in the BLM and improve service delivery.

Several of the houses built in South Africa have defects. Housing defects were explained in section 2.2. The minimum standard for an adequate house includes security of tenure, drinking water, adequate sanitation, electricity, adequate space, protection against cold,

damp, wind, heat and rain and accessibility in terms of the occupants' needs, for example, proximity to employment opportunities, health care services, schools, parks and other social needs – see sections 1.2 and 1.2.3. The study found that the houses provided included elements of both adequate and inadequate houses. Regarding the elements of an adequate house, 100% of the beneficiaries indicated that they had (a) drinking water, (b) electricity and (c) adequate sanitation, 94.3% had access to health care services and schools and 91.4% had access to shops and employment opportunities. These are all the required elements of adequate housing that contribute to outcome 8 of the NDP, vision 2030. Accessibility to job centres is one of the prime factors that define whether housing is either adequate or inadequate. Accessibility and affordable locations should be ensured because the success of any product depends on its acceptability and, once the product is acceptable, this means it is affordable (Bardhan, Jana, Kumar & Sarkar 2016:89-90). The inadequate housing elements included inadequate space, no protection against rain, cold, heat, damp and inaccessibility to parks and waste removal services. In view of the fact that the MPDHS had implemented the housing project under study and this housing project was funded by the National Treasury via the NDHS (as explained in section 1.2), it is a challenge to pinpoint exactly who is responsible for fixing these housing defects.

The results revealed that 100% of the BLM housing officials had indicated that they: (a) had a demand data base (National Housing Needs Register) which served as a housing waiting list, (b) executed all their housing responsibilities completely independently and (c) used the BLM's Communication, Marketing and Events Coordination Unit to consult, communicate, coordinate, cooperate and collaborate on housing issues with the MPDHS and NDHS and that this unit always provided feedback. However, probing revealed that this unit was used for housing launches and project implementation and not to address service delivery challenges, including housing service delivery, by the three spheres of government – see Annexure F. The individual execution of their mandatory housing responsibilities during housing project implementation and housing launches by the three government spheres promoted silo operation – see Annexure F.

The results revealed that 100% of the ward committee members: (a) reported all housing challenges to the ward councillor, (b) indicated that the ward councillor reported all the housing challenges identified to the municipal council accurately, (c) believed that the municipal council addressed the ward housing challenges fairly, (d) participated in the development of IDPs, (e) monitored the performance of the ward councillor to ensure that the community problems reported were attended to, (f) reported that the ward councillor provided feedback on the housing issues discussed, and (g) held quarterly meetings with citizens and conducted door-to-door campaigns. In view of the above, it was clear that the citizens of ward 31 (Thulamahashe C) were being provided with an opportunity to participate in housing service delivery issues, including housing service delivery, in their ward because the results also revealed that 88.6% of the beneficiaries had been invited during the planning phase of the housing project under study while 91.2% of the beneficiaries indicated that they had been invited by the ward councillor. This implies that the ward councillor was promoting public participation on the ward level. It should be noted that public participation is one of the requirements of decentralisation because it brings communities closer to government – see section 1.2. Furthermore, the researcher was invited to a war room function held on 28 July 2016 at the Thulamahashe Civic Centre. The researcher was delighted with the performance highlights of the ward councillor and the ward committee members during their five year term of office and which were mentioned by stakeholders. It was clear from the speeches made by the speakers that, at the time of the study, there was a good relationship and cooperation between all the stakeholders of ward 31 (Thulamahashe C). The results also revealed that public participation was effective in ward 31 (Thulamahashe C). This confirmed what the researcher had observed – see Annexure F.

6.3.1 Probing results

Municipalities have capacity challenges (Modipane & Sebola 2012:399) and the BLM was no exception. At the time of data collection, there was a severe shortage of public housing

staff in the BLM. The two public housing officials had to: (a) record the public housing applications for the thirty-eight (38) wards in the BLM, (b) evaluate the housing projects implemented in each ward and (c) solve the housing problems of the housing beneficiaries. In addition, they also jointly worked with officials from the MPDHS and the NDHS to instruct the beneficiaries on both how to take care of the houses allocated to them and the requirements of the application for a house through the Housing Consumer Programme. The ward councillors complained that these officials did not assist them when they reported housing problems or else they only responded after a very long time. The beneficiaries were being provided with free water during the data collection. In view of the delays in resolving reported problems, some of the beneficiaries opted to solve their housing problems by hiring service providers, despite a shortage of funds. The majority of the beneficiaries did not understand how the three government spheres worked and believed that the ward councillor was responsible for providing solutions to the housing problems they had reported. Disabled people from other wards were given priority because of better public services which were available in Thulamahashe as compared to their wards. The houses of these disabled people had ceilings and floor tiles but they complained that the wheelchair ramps were not user-friendly. The BLM should be applauded for giving priority to disabled people. This is because disabled people, form one of the vulnerable groups– see section 1.2. The housing prioritisation function of the municipal council had resulted in fifteen (15) of the beneficiaries not being from the Thulamahashe C (ward 31) – see Annexure F.

At the time of the data collection there were no waste removal services and neither were there any parks. However, the beneficiaries were confident that the BLM would provide rubbish bins because Thulamahashe is a semi-urban area. Some of the ward councillors indicated that the BLM had adopted the Mpumalanga Development Coordinating Model (here after referred to as MDCM) in June 2015 and that it provided a platform for all the BLM stakeholders to work together. The ward councillors were also working together with other sector departments to jointly address community problems as per this adopted model. However, the implementation of the model was still in its very early stages at the time of

the data collection. The model has four (4) phases. During the first phase, the BLM stakeholders identify the community needs. During the second phase, these community needs are referred to the relevant sector department while, during the third phase, the ward councillors are expected to conduct follow-ups on the progress of the needs which were referred and record the results in their referral registers. The target dates for meeting these needs should be indicated in the referral registers. The fourth phase involves the closing of the needs which would have been addressed. Further research into the effectiveness of this model should be conducted in order to determine its contribution to service delivery in the BLM. The ward committee members indicated that they compiled IDP community based plans which incorporated the community needs. These community plans were then submitted to the IDP manager. It is clear that service delivery could be improved in the BLM. In addition, the cooperative government and intergovernmental relations should be promoted because officials from the three government spheres are involved in the implementation of the MDCM. However, three ward councillors indicated that their housing roles and responsibilities are sometimes delegated telephonically by the officials of the MPDHS and without prior consultation with the municipal council. Such conduct hampers cooperative government and intergovernmental relations.

6.3.2 Observation results

The researcher used field notes to capture the data observed. A ward councillor informed the researcher that all the ward councillors would attend a local election technical meeting on 19 July 2016 at 15h00 at the Dwarsloop Civic Centre. He promised to: (a) telephonically request all the ward councillors to arrive early so that they could be interviewed and (b) coordinate the process. The researcher arrived at the venue at 12h30. However, those attending the meeting started arriving after the scheduled time. Nevertheless, the majority of the ward councillors appeared to be aware of the interviews and promised to be available after the meeting. The researcher interviewed two (2) ward councillors before the meeting but the rest disappeared after the meeting without a word. As stated in section 5.4.1, this

was both unethical and unprofessional behaviour and raised several questions regarding how they addressed their communities' needs and challenges.

Ward councillors should carry out the constitutional mandate of both local government and the Constitution of the Republic of South Africa, 1996 – see section 3.4.9. As stated in section 3.2.2, public servants (including ward councillors) are responsible for implementing government's policies and they serve as the main administrative tools of the government in power because they are responsible for executing government functions. The behaviour of certain ward councillors (Table 6.1) demonstrated unethical and unprofessional conduct. Ward councillors should be made aware that politics refers to the process of determining the leaders who were selected by the public. These leaders must develop policies and make authoritative decisions about public issues – see section 3.5.4. South Africa is a multi-party, political democracy and the political parties should assist each other and work together. Ward councillors, like all public servants, should promote the basic values and principles governing public administration as stipulated in section 195(1) of the Constitution of the Republic of South Africa, 1996. Section 195(1)(a) of the Constitution of the Republic of South Africa, 1996 requires public administration to demonstrate a high standard of professional ethics that should always be promoted and maintained.

Section 4.3.3 of the Code of Conduct for Public Servants, states that the public service is required to appoint personnel who, irrespective of their political opinion or affiliation, have the ability to render services, including public services, to the citizens of the country (South Africa. Public Service Commission, 2002:26). SALGA provides training on the code of conduct for ward councillors and manuals are provided during these training sessions. Although the interviews were conducted in the participants' own languages, some of the ward councillors struggled to answer the questions posed on the cooperative government and intergovernmental relations structures that exist in the three government spheres. This may, perhaps, be linked to the fact that ward councillors are political appointees and are

often advantaged by the ruling party's cadre deployment policy – see section 1.2.2. The researcher observed numerous housing applications in the BLM office and which had to be captured by only two (2) public housing officials. The severe shortage of staff experienced by many municipalities in South Africa, including the BLM, and as discussed in section 3.5.1, should be addressed in order to improve service delivery.

6.4 Recommendations

- In order to alleviate the workload of the two officials who may be labelled as incompetent, the employment of data capturers to capture all the housing applications of the thirty eight (38) wards on the National Housing Needs Register (national application data base) is recommended.
- Alternatively, ward councillors should be provided with computers and be trained to capture their own ward housing applications on the system with the two officials then consolidating the information captured on spreadsheets. However, this would require a standardised educational level for ward councillors although they are political appointees who benefit from the ruling party's cadre deployment policy.
A complaints unit should be established. The two officials would liaise with this unit and conduct follow-ups with the MPDHS in its role as the body responsible for the implementation of housing projects in the BLM in order to speed-up solutions to housing problems reported. It is essential that the defects revealed by the results of this study are attended to urgently because the houses will soon dilapidate.
- Citizens must be educated on the way in which government operates. As public servants, ward councillors should always behave in an ethical way as required by both the Constitution of the Republic of South Africa, 1996 and the constitutional mandate of local government.

- In accordance with the principles of decentralisation, the total responsibility for housing financing should be devolved to the BLM in order to ensure the effective delivery of adequate houses to BLM citizens.
- The BLM must be accredited to enable it both to execute its housing function fully and to be accountable to the citizens and the other two government spheres.
- The three spheres of government must use the established cooperative government and intergovernmental relations structures to address the housing challenges in the BLM and find joint solutions instead of working together only when there is a housing project launch or housing project implementation in a particular ward.
- BLM ward councillors should participate in the established national cooperative government and intergovernmental relations structures in order to take advantage of the opportunity offered to communicate their service delivery challenges directly to the President.
- Ward councillors should be made aware that they act on behalf of the government in power and that they should not promote the interests of their political parties in government institutions.
- If the BLM participates in the Back-to-Basics (B2B) programme, those implementing the programme must ensure that ward councillors participate actively to ensure that the programme is on a par with service delivery developments and other integrated national programmes in the country.

6.5 Areas of further study

The researcher identified further possible research areas which were not covered in this study. The possible research areas that the researcher feels merit further study/ies include the following:

- The role of the National Home Builders Registration Council (NHBRC) in the BLM.

- The effectiveness of the Mpumalanga Development Coordinating Model (MDCM) that has been adopted in improving service delivery in the BLM.
- Determine the way in which the MPDHS allocates the total number of houses in the BLM in a financial year.
- Determine how BLM ward councillors execute their mandatory roles.
- Investigate the exact causes of the three government spheres executing their housing mandatory responsibilities individually during housing project implementation in the BLM.
- Determine whether there is a link between the unethical behaviour of the ward councillors which was identified and the way in which they carry out their service delivery responsibilities in the BLM.

6.6 Limitations of the study

The ward councillors formed the target population of this study. The researcher endeavoured to meet the ward councillors at their offices or homes to avoid inconveniencing them because they were conducting door-to-door campaigns in preparation for the 3rd August 2016 municipal elections. The initial plan of interviewing the ward councillors before the 2016 municipal elections was based on the fact that they had served on the BLM municipal council for five (5) years and they could, therefore, provide rich data for the study. In fact, one informant informed the researcher that some of the ward councillors had served on the BLM council for ten (10) years. Some of the cooperative government and intergovernmental relations structures under discussion had been established eleven (11) years ago by the IGRFA (13 of 2005). Despite this, however, some of the ward councillors struggled to answer the question on these structures. As illustrated in Table 6.1, the majority of the ward councillors had demonstrated unprofessional and unethical behaviour.

The target population comprised 38 (thirty eight) ward councillors, all of whom were supposed to be interviewed as they had been purposefully sampled. However, the researcher discovered that one ward councillor had died and, thus, 37 ward councillors were supposed to be interviewed. Nevertheless, twenty two (22) ward councillors were not interviewed for the reasons presented in Table 6.1. As explained in section 1.8, officials from the MPDHS who were responsible for housing service delivery in the BLM were supposed to be interviewed to further determine the effectiveness of the cooperative government and intergovernmental relations structures with the aim of enriching the data. Unfortunately, the researcher did not receive any positive responses from the majority of the responsible officials who had been referred and contacted despite the fact that permission to interview them had been granted – see Annexure B. The researcher had also planned to request progress reports of the project which had been implemented from the MPDHS to use them (progress reports) as secondary data but, as stated above, the responses received had been negative.

Table 6.1: Reasons for not interviewing some of the ward councillors

Number of participants	Reason
1	The participant was in hiding because the community members had burnt her home.
1	The participant said that he had been told not to talk to anyone, including students.
1	The participant agreed to a meeting but did not come out of his office and then did not answer his cell phone.
1	The participant indicated that she did not have time and she would be busy until the election, also she would not be a ward councillor after the election and was not able to guarantee that she would be able to assist.
1	The participant agreed to a meeting but then did not answer calls about collecting the researcher at the taxi rank as

	agreed. The participant did not subsequently answer his cell phone.
1	The participant agreed to a meeting but did not answer his cells when the researcher was in the area where it had been agreed they would meet so the researcher could be directed to the exact location. He never answered his cell to reschedule the meeting.
1	The participant indicated that the researcher should interview the person who had provided her (the researcher) with his contact details at the speaker's office because this person would have the required information.
1	The participant indicated that she did not have time for interviews.
1	The participant agreed on an appointment after being requested for almost eight days but did not answer her cell phone on the day of the appointment until the researcher had returned home. Thereafter, she did not answer her cell phone.
1	The participant agreed to two meeting in two weeks (one each week) but did not arrive for the meeting. He said he was somewhere at some distance from his village and the researcher had to return home. An hour before the second meeting, the person who answered his cell informed the researcher that he was at a meeting some distance from his village and he would not make it for the meeting in time.
1	The participant agreed to three meetings but had left his office before the scheduled times. As regards the first two meetings, he was somewhere else at some distance from his office. As regards the third meeting, he said he was in a nearby office and promised the researcher that he would be returning to his office in ten (10) minutes. However, he

	<p>then did not answer his cell phone. After waiting for almost two hours, a security lady at the gate requested his colleague to take the researcher to the participant's office but he did not return to that office. The researcher then called him at approximately 10h15 with a private number, he answered his cell phone and said that he could only be interviewed at 14h00 in his office. This was somewhat strange as he had always claimed that he left his office at 12h00. He did not answer his cell phone after that.</p>
1	<p>The participant agreed to three meetings and postponed all three. She then did not arrive for the third meeting. The researcher waited for three hours at the agreed upon venue and she never responded to either calls or messages.</p>
1	<p>The participant claimed that she was sick and in no state to be interviewed.</p>
1	<p>The participant asked to be interviewed telephonically due to time constraints but claimed that she desperately wanted to participate. She was interviewed telephonically but the information was not used to avoid bias because the other participants were interviewed face-to face. In addition, a consent form was supposed to be signed before the interview but this was obviously not possible.</p>
8	<p>These participants were not available for any interviews in the three weeks during which the researcher conducted interviews. Whenever they were called to check their availability, they always claimed they had other commitments but would propose a meeting on a date they needed to be checked. This happened until the 2016 municipal elections were about to commence. Some of those ward councillors had attended a meeting which was held on 19 July 2016 at the Dwarsloop civic centre and they</p>

	<p>agreed to be interviewed after the meeting but they disappeared after the meeting without saying a word to the researcher as previously stated. In view of this unprofessional and unethical behaviour, it was concluded that they had had no wish to participate in the study but had not had the courage to explain their real reasons behind their unwillingness to participate to the researcher.</p>
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Source: Compiled by the researcher, 2016

6.7 Conclusion

The study results revealed that not one of the ward councillors was serving on either the intergovernmental forum, the President's Coordination Council (PCC) or the provincial national intergovernmental forum as required by the Intergovernmental Relations Framework Act (13 of 2005). The ward councillors had provided contradictory statements on who should serve on the municipal intergovernmental forum with the study finding that 60% had indicated that all ward councillors served on this forum, 13.3% had indicated that the mayor and speaker served on this structure while 26.7% indicated that members of the mayoral committee served on this forum. All the relevant stakeholders had been involved in the development of the BLM's integrated development plans. Several of the houses built in South Africa have defects. The minimum standard for an adequate house includes security of tenure, drinking water, adequate sanitation, electricity, adequate space, protection against cold, damp, wind, heat and rain, accessibility necessary to meet the needs of the occupant and proximity to employment opportunities, health care services, schools, parks and other social structures.

CHAPTER 7

THE CITIZEN REPORT CARD (CRC) MODEL AS AN ACCOUNTABILITY TOOL FOR CITIZENS

7.1 Introduction

If a service satisfies the client, the service is regarded as a quality service and this provides an indication of the success of the service (Batool, Hussain & Khan 2015:1038-1040). The study results revealed that the houses which had been provided had defects which included: (a) cracked walls and floors, (b) leaking pipes and roofs, (c) no protection against cold and heat and (d) external doors which did not fit into the door frames. Although the housing beneficiaries were unsure about who was responsible for addressing their housing problems, they expected the ward councillor to address these problems – see Annexure F.

Housing is one of the outsourced public services and is provided by housing service providers (agents) contracted by government departments (principals) – see section 2.2. However, in the local government context, the citizens are the mandating authority (principals) and the local government institutions the mandated (agents) who should be accountable to the principals (citizens) (Randa & Tangke 2015:666). This implies that the citizens, as the mandating authority, should have some accountability tool to enable them to hold local government and service providers responsible for their actions. Accordingly, this study developed the citizen report card survey questionnaire for use by the BLM citizens as an accountability tool –see section 7.2.1.1.1. Certain factors which emerged from the literature review and the results of the study are discussed below. The main objective of this study was to critically review cooperative government and intergovernmental relations in order to understand how some of the cooperative government and intergovernmental relations structures were being utilised by the three

government spheres to provide adequate housing to the BLM citizens. Some highlights from the literature review and the study results are discussed below.

7.2 Some highlights produced by literature review and the results of the study that justify the development of an accountability tool

One of the objectives of this study was to develop a housing development model to be used by the three government spheres to provide adequate housing in the BLM – see section 1.6. However, a CRC survey questionnaire to be used as an accountability tool was developed for the purposes of the study.

The reasons included the following: (a) the housing budget for the houses provided was managed by the MPDHS and the BLM was informed that, for 2012/2013 financial year, fifty (50) houses only would be built in the BLM and the municipal council had prioritised the allocated houses as revealed by the probing – see Annexure F. It could, thus, be concluded that the citizens were not involved in the budgetary participation processes despite the fact that, in democratic countries such as South Africa, all stakeholders should be involved in the budgetary participation processes – see section 3.2.2, (b) the BLM is one of the rural nodal municipalities and it would be costly to implement housing models such as Balanced Housing Model which determines the future housing needs of communities and requires prior research study, (c) the majority of housing models such as the *Haus Halten e.V* of Germany may be implemented effectively in urban areas, (d) the houses which have been provided have defects and the beneficiaries are unclear as to who should be held accountable, (e) 91.4% of the beneficiaries indicated that the reported housing challenges had not been solved at the time of the data collection while 8.6% indicated that the reported housing problems had been solved to the total satisfaction of the beneficiaries, (f) the *Baraza* programme, which may be used as a forum for citizens to hold local government accountable for resources spent on public programmes in their areas

and the debt network which is used to conduct budget analysis in Uganda, as explained in section 2.6.4, would be costly for the BLM because more housing officials would have to be employed, (g) accountability is one of the core values of the BML (Bushbuckridge Local Municipality 2015:1), (h) accountability is one of the basic principles and values that govern public administration as stipulated in section 195(1)(f) of the Constitution of the Republic of South Africa, 1996 (South Africa. Constitution, 1996), (i) in 2014, the President of South Africa, Mr Jacob Zuma, launched the Back-to-Basics (B2B) programme with the aim of improving service delivery in the local government sphere and (j) the Premier of Mpumalanga Province, Mr David Dabede Mabuza, launched the *Vuka Sisebende Operation* model which is regarded as Mpumalanga's development implementation model on 13 August 2015 in ward 1 (one) at Mkhuhlu with the aim of speeding up service delivery and reducing unnecessary service delivery protests and demonstrations in the province (Bushbuckridge Local Municipality 2015:11). This has resulted in several stakeholders becoming involved in the execution of a single government function and thus, it is important that an accountability tool is in place.

When public services, including public housing services, are delivered through the PPPs, the public sector (as principal) should be accountable for the provision of such services and must ensure that all projects, including housing projects, are completed successfully. As explained in section 2.2, decentralisation is one of the main features of the New Public Management (NPM) agenda. The main aim of decentralisation is to bring government services closer to the citizens (Kayigire, Nshutiraguma & Usengumukiza 2015:41). NPM in the South African context implies that the role of the government in both the economy and society must be centred on the privatisation and deregulation of the market. The adoption of GEAR in 1996 catalysed the usage of PPPs. According to Stadtler (2015:84), the partners and stakeholders in PPPs define success differently and, thus, it is important that a common definition is agreed upon. This agreed upon common definition must then be clearly stated in the contract. If the construction of a housing project is completed within the targeted date and the contracted housing services were delivered in a sustainable manner, the housing project may be deemed to be successful. Both the agent and principal

will be accountable for their mandated responsibilities – see section 2.2. Two major challenges facing government departments in their dealing with agents (public service providers) include: (a) ensuring the achievement of contracted goals in order to improve service delivery and (b) ensuring accountability (Leland, Smirnova & Yusuf 2016:211). The B2B programme which was launched places the emphasis on integrated sustainable development. One of the elements of sustainable development is social sustainability which encompasses: (a) user participation in the development of programmes and (b) improved quality of life for future generation (Ciravoğlu & Taştan 2016:206). Based on the fact that development programmes are implemented on the local government sphere and the results of this study revealed that not one of the BLM ward councillors was participating in the national and provincial cooperative government and intergovernmental relations structures, as provided for the IGRFA (13 of 2005) (almost eleven years ago), it is recommended that those responsible for implementing the B2B programme in the BLM should ensure that ward councillors participate effectively in this programme (B2B). Various stakeholders are involved in executing service delivery functions and the issue of accountability is a challenge. Local government is required by the B2B programme to respond directly to service delivery problems which are reported, including housing service delivery challenges (Gauteng Department of Cooperative Government and Traditional Affairs 2015:7).

The five (5) pillars of the B2B programme are: (a) putting people first and engaging communities, (b) delivery of basic services including housing, (c) good governance, (d) sound financial management and (e) building institutional capability (Department of Cooperative Governance and Traditional Affairs 2016:1 & 11). The delegates at the B2B launched summit included National Ministers, Deputy Ministers, Premiers of the provinces, the Chairperson of the National Council of Provinces, the Deputy Speaker of the National Assembly, Members of the Executive Councils (MECs) for Local Government, the Deputy Chairperson of the NCOP, Chairpersons of Parliamentary Committees, Chairpersons of the National House of Traditional Leaders and of the South African Local Government Association (SALGA), respectively, mayors, members of

Traditional Councils, municipal managers, chief financial officers and technical directors. The majority of these delegates served in various cooperative government and intergovernmental relations structures within the three government spheres. The stakeholders in attendance included the business sector, organised labour, several professional and research bodies, the donor community and the media (Department of Cooperative Governance and Traditional Affairs 2015:30).

As illustrated in Figure 2.2, information on the behaviour of agents should be collected and evaluated in order to determine whether sanctions should be imposed to control behaviour and/or to ensure that the agent meets expectations. The behaviour of agents is controlled through rules and predetermined processes which should be reflected in the signed contracts. Agents must provide the principals with accurate information so as to avoid evaluation costs and for the purposes of accountability, transparency and fairness. This will ensure the establishment of a two-way relationship between the principal and the agent. This two-way relationship will help the citizens to determine the actual responsibilities of both the agents and principals – see Figure 7.1 below. Housing evaluators should also conduct post occupational evaluations (POE) to reduce any future occurrences of prevalent defects (Hopkin, Lu, Rogers & Sexton 2014:1159). Post occupational defects remedial actions should be included in the contracts to hold public service providers (agents) accountable and compel them to take remedial action.

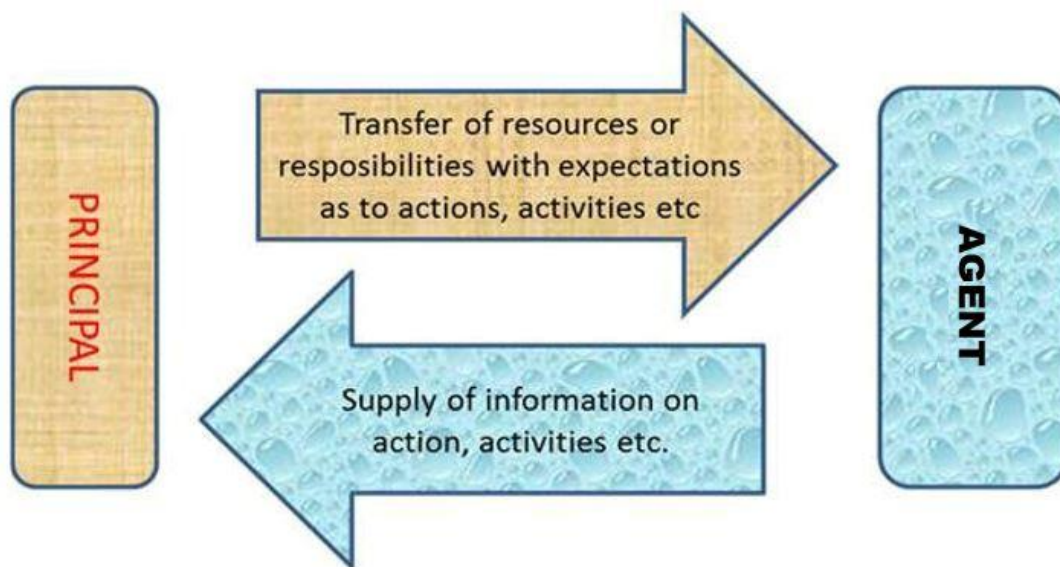


Figure 7.1: The accountability model

Adopted from Randa & Tangke (2015) and adjusted by the researcher, 2016

The results revealed that 100% of the ward councillors reported all the housing challenges of their wards to the municipal council. The study also found that 51.4% of the beneficiaries indicated that the houses provided did not protect them against cold and heat because ceilings had not been installed in the roofs, 57.1% of the beneficiaries indicated that their allocated houses had leaking roofs and did not protect them against rain while 85.7% of the beneficiaries indicated that they were not protected against damp. In view of the above, the question arises as to who should be held accountable for those housing defects that require urgent attention?

7.2.1 The citizen report card (CRC) model as an effective accountability tool for citizens

Accountability, is one of the aspects of relation-building in government, as explained in sections 1.2 and 7.3. In democratic countries, accountability requires: (a) transparency, (b)

clear lines of accountability, (c) allocation of functions to ensure areas of appropriate responsibilities and (d) intergovernmental arrangements that emphasise the values of openness, accountability, responsiveness, collaboration and legality (Alber & Palermo 2015:37-38). Randa and Tangke (2015:665) define accountability as the ability and willingness of a person or an organisation to clarify what the person or organisation receives from all the stakeholders or the principals. They regard accountability as one of the aspects of good governance (GG). These aspects include the transparency and fairness which must always be maintained, especially by local governments, in order to gain the trust and support of all stakeholders. Local governments, as mechanisms and agents of state functions, should always bear in mind that the citizens play a critical role in decentralised countries (Barcson 2015:152). Thus, it is incumbent on local governments to ensure that: (a) the needs of people are understood and met and (b) to strive constantly to become more developmental in their service delivery approaches in order to reduce inequalities and uplift poor citizens from their poverty (Slack 2015:5 & 9).

Access to service delivery information on the part of citizens may contribute to improved quality of services by helping to ensure that policy makers and service providers are held accountable for their actions (Hollar, Koziol, Ringold & Srinivason 2012:1-2). Grizzle and Sloan (2016:399) advice that questions regarding accountability to whom and for what should be addressed when accountability issues are dealt with. The CRC survey questionnaire was developed in this study as an accountability tool for the Thulamahashe C housing beneficiaries and which they could use to address the housing defects that had been revealed by the study results to enable them to hold the agent (housing service provider that built the houses provided) and the BLM (as the policy-maker in that particular area of jurisdiction) and the MPDHS accountable for addressing the reported housing defects or problems. The study found that 97.1% of the housing beneficiaries indicated that they believed that the ward councillor should solve the reported housing problems because all problems encountered were reported directly to him (ward councillor). Probing had also revealed that each government sphere had executed its mandatory housing responsibilities individually during the implementation of the housing

project under study. However, the BLM housing officials were responsible for project evaluation, the Mpumalanga Provincial Department of Human Settlements was responsible for contracting housing service providers and for payments and the National Department of Human Settlements was responsible for quality and compliance to national housing standards. Accordingly, the question arises as to who is responsible for the defects in the houses provided and revealed by the study results.

One of the effective accountability models used by citizens to hold government agents and principals accountable for the delivery of public services, including housing, is the CRC model – see section 1.2. Various names are used by different countries for this model. These include CRC survey, consultative citizen report card and report card systems. The CRC model originated in Bangalore, India in 1993 after a group of residents, who were displeased about the poor services in the city, conducted a CRC survey to determine the level of satisfaction with the quality of the public services provided. The results of this survey generated an awareness of poor performance of service providers who, as a result, were compelled to take corrective actions (Ramkumar 2008:1). It should be noted that CRC surveys should include only those beneficiaries who have had experience of or used the specific services and have interacted directly with the relevant agents (Zehra 2010:18). The citizen report card provides information that may be used to assess the performance of agents in providing government services and facilitates not only top-down accountability from regulators and funders but also bottom-up accountability from public service users (beneficiaries). In developing countries, such as South Africa, this card system may play a critical role by providing a focal point in providing support for the dissatisfactory voices of citizens (Weimer 2003:1).

The citizen report card model is a tool that can be used for several purposes, for example, it may be used for: (a) diagnostic purposes to obtain information about performance standards and gaps in service delivery, (b) accountability purposes to reveal areas where the institutions or service providers responsible for providing a particular service did not

achieve the mandated, expected service standards. The findings should then be used to identify and demand specific improvements in the service rendered, (c) benchmarking purposes to track changes in service quality over time, and (d) revealing hidden costs in order to expose extra costs beyond the mandated fees for using public funds and bribes for poor services (Asian Development Bank and Asian Development Bank Institution 2007:4-5). For example, Rwanda conducted the citizen report card survey as a tool to measure the level of satisfaction with the services rendered to citizens. The aim was to obtain feedback from beneficiaries on the quality and accuracy of the services rendered to them in order to improve the efficiency and effectiveness of public service delivery as one of the pillars of Rwanda's Vision 2020 (Kayigire, *et al.*, 2015:xvii).

A CRC study conducted in Karachi in 2010 assisted the Karachi government with strategic inputs such as: (a) benchmarking as regards access to adequacy and quality of public services as experienced by citizens. The CRC not only addresses specific problems of individuals but also places each issue in the perspective of other elements of service design and delivery as well as comparisons with other services across different domains of the same service in order to initiate strategic actions, (b) revealing citizens' satisfaction with the services provided and which may assist in the prioritisation of valuable and effective corrective measures, (c) identifying indicators of problem areas in the delivery of public services because CRC focuses on specific aspects of the interaction between service delivery agents and citizens regarding issues or problems experienced by citizens when using the services provided, causes of dissatisfaction with these services and difficulties encountered by citizens when dealing with agents in solving the problems identified, (d) suggesting reliable estimates of hidden costs and forced investments such as buying water purifiers which were not budgeted for and (e) indicating mechanisms that may be used to explore alternatives for public service improvements by collecting feedback on existing situations from citizens. The feedback collected was then used as a means of testing the various options that citizens wished to exercise individually or collectively (Zehra 2010:17-18). Accountability mechanisms are crucial, especially in South Africa where housing projects are implemented by housing service providers (agents) contracted by

government housing institutions (principals). Both the principal and the agent should be accountable to the citizens for their actions (see Figure 2.2). Accountability in principal perspective is a mechanism for ensuring that the agent does not abuse his/her authority and always act in the best interest of the principal. Agents should use their authority in a manner that meets all the expectations of the principal. In addition, agents should be held accountable for: (a) the manner in which they handle financial resources, (b) their compliance with rules and procedures and (c) the outcomes they produce (Steets 2010:15 & 22-23). In the South African context, agents who are tasked with the management of resources must use these resources efficiently, economically and effectively as required by section 195(1)(b) of the Constitution of the Republic of South Africa, 1996 (South Africa. Constitution, 1996).

Although the implementation of housing projects in South Africa is the primary responsibility of the provincial departments of human settlements, communities often direct their anger and frustrations to municipalities. The main reason for this is because the communities regard municipalities as the sole channel by which to reach the provincial and national government spheres. The IGRFA (13 of 2005) established this channel by creating cooperative and intergovernmental relations structures within the three government spheres. Ward councillors are expected to serve on some of these structures in order to communicate the service delivery needs of citizens to officials of the national and provincial spheres. However, the misdirected anger and frustrations on the part of citizens may be addressed through public participation methods such as ward committee meetings to explain: (a) the different roles and responsibilities of the three government spheres, (b) the rights and responsibilities of citizens, (c) channels for redress and (d) the achievements of municipalities with regard to integrated development plans and other development initiatives. In order to prevent future service delivery protests and demonstrations, municipalities should: (a) strengthen communication with citizens, (b) inform citizens of their (municipalities)' achievements and (c) inform citizens of delays in providing services and the reasons for these delays (Zama 2013:187 &193). The citizen report card model may also be used to communicate citizens' needs to the three

government spheres. Furthermore, this model may be used to provide feedback from citizens regarding the: (a) availability, reliability and quality of rendered services, (b) responsiveness of service providers, (c) accessibility to services and the degree of satisfaction with the services provided, (d) willingness and affordability to pay for services, (e) quality of the citizens' life and (f) hidden costs, if any, to avoid corrupt activities (Zama 2012:5). The CRC is also regarded as an effective evaluation tool that: (a) empowers citizens to interact with government and (b) assists citizens to use surveys to evaluate the quality and efficiency of services rendered to them.

The development of the CRC survey involves various stages depending on the main purpose of its development. According to Balakrishnan (2011:3 & 10), the development of the CRC involves seven (7) stages. During the first stage the situation is assessed and score of the assessment results is defined while the second stage involves preparations and collecting feedback from the citizens. During the third stage, the services must be rated. The fourth stage involves responses from the agents (implementers) while, during the fifth stage, citizens are engaged in reform. Periodic benchmarking and public reviews are conducted during stage six and report writing during the seventh stage. The World Bank (2004:1) regards the CRC as part of science and art. This is because, scientifically, the CRC may be seen as an aspect of running an efficient and credible survey while, as art, it may be used as a strategy that fosters debate and generate results. The Asia: Asian Development Bank and Asian Development Bank Institution (2007:1) developed six (6) key stages in the CRC process. The researcher tabulated these key stages for the BLM in Table 7.1 below in order to facilitate understanding. These key stages may be modified to suit the main purpose of the CRC tool (CRC survey questionnaire) developed. In this study, the CRC model was used for accountability purposes by developing a CRC survey questionnaire.

A research study conducted by Emuze *et al.* in 2012 revealed that housing contractors were often of the view that housing defects were caused by: (a) poor workmanship, (b) workers

who are not committed to the implementation of quality standards, (c) trying to save more than necessary on building materials, (d) focusing on production rather than on quality, (e) housing contractors who did not understand the National Building Regulations, (f) poor on-site supervision, (g) unskilled labour, (h) insufficient or no inspection of work in progress, (i) inadequate checks and controls (j) uncommitted management to quality management, (k) use of unsuitable alternatives or cheap materials (l) using emerging contractors and (m) faulty construction (incorrect building procedures) (Emuze *et al.* 2012:30). Based on these findings, those responsible for implementing public housing projects should draw up observation checklists based on these housing defects to check the capabilities of the contractors selected during the bidding processes by investigating their reputations. The Socio-Economic Rights Institute of South Africa (SERI) (2016:43) states that local municipalities fail to provide access to adequate housing due to: (a) separation of powers between the three spheres of government, (b) resource constraints, (c) intergovernmental competencies within the three spheres of government, (d) procurement policies which, in most instances, delay the provision of housing services, (e) qualifying criteria for providing alternative accommodation, and (f) extended waiting periods for households which have qualified for a state-subsidised houses.

The Organised Local Government Act (52 of 1997) provides for local government to be represented and to participate in the national and provincial intergovernmental relations structures. This Act also: (a) necessitates the recognition of the national and provincial organisations representing municipalities and (b) determines procedures which may be used by local government to consult with the national and provincial government spheres (Dlanjwa 2013:1-2). Section 3(1) of this Act also stipulates that each provincial organisation may nominate not more than six (6) members of municipal councils in writing to be designated as representatives to participate in NCOP proceedings. NCOP is one of the cooperative government and intergovernmental relations instruments that addresses the interests of provincial and local government spheres and creates a platform for public representatives from the three spheres of government – see sections 1.2.2, 3.3, 3.4.6 and 3.4.8. In addition, the PCC meets regularly to: (a) oversee the implementation of national

policies and legislation and (b) ensure that national, provincial and local governments' strategies are aligned to each other (Chennells, 2015:82). If the cooperative government and intergovernmental relations structures within the three government spheres were effectively utilised, as provided for by the IGRFA (13 of 2005), the above mentioned housing defects and local government failures would have been addressed.

Chagunda (2006:1) warned earlier that, if the three spheres of government do not coordinate their operations, their efforts to improve service delivery may disintegrate, thus resulting in poor public service delivery. The question arises as to whether all the officials from the three government spheres who were involved in the implementation of the housing project under study were really coordinating their operations? If not, then which sphere of government should be held accountable for the housing defects revealed in the study and the housing problems reported at Thulamahashe C because the BLM is committed to building safe and quality houses which meet the basic government requirements and as stated in the BLM's 2011-2016 IDP (Bushbuckridge Local Municipality 2011:35). In order to fulfil this commitment, the BLM should develop housing performance standards which will assist in holding the housing service providers accountable for the defects identified by the housing beneficiaries. Housing performance standards protect housing beneficiaries from poor construction, hazardous materials and deteriorating structures (City of Albuquerque 2016:3). The researcher deemed it appropriate to develop an accountability tool that may be used by the BLM citizens to hold both the housing service providers (agents) and government officials (principals) accountable for their actions. This accountability tool is discussed in the next section.

7.2.1.1 CRC survey questionnaire as an accountability tool for BLM citizens

In the interests of the attainment of all the outcomes of the NDP 2030, the BLM, in collaboration with all stakeholders, should develop a powerful accountability tool.

Communities are often surprised during the implementation of activities which bear no relation to the decisions taken during planning processes – section 3.2.2. However, this was clearly not the case with the BLM because all the ward committee members and ward councillors indicated that all stakeholders had been involved in the development of the BLM's IDPs. In addition, 68.6% of the housing beneficiaries indicated that they had participated in the implementation of the housing project under study. The finding that 31.4% of the beneficiaries had not participated in the implementation process may be as a result of the fact that fifteen of the (15) beneficiaries were from other wards. This had emerged from the probing. In addition, the probing also revealed that some of the houses had been built at Thulamahashe A and B because of certain land issues at Thulamahashe C – see Annexure F.

Based on the fact that the study results had revealed defects in the houses provided, the researcher developed a CRC survey questionnaire that could be used by the housing beneficiaries to determine the quality of the houses provided and to hold the implementing agent, the MPDHS and the BLM accountable for all the reported housing problems but not the ward councillor as stated above. Fombad (2014:80) advises that a community accountability structure should be established to ensure meaningful community participation in the decision-making processes and to hold government service providers and officials accountable for their actions. It is suggested that the CRC survey questionnaire developed should be administered by an accountability structure which must be established by all the BLM stakeholders. The researcher proposes the establishment of a BLM accountability structure which consists of thirty eight (38) members selected from each municipal ward in order to avoid the costs of hiring consultants. In other words, each ward would be represented. Of the ten (10) committee members in each ward, only the ward committee member with the highest qualification should be selected to serve in this proposed structure because survey questions on the services provided should be developed, captured, analysed and interpreted and a survey report be produced. The study results had revealed that 50% of the ward committee members of Thulamahashe C (ward 31) had post

graduate qualifications. In addition, members with knowledge of research could also be given preference.

In addition, ward committee members are not expected to be politically affiliated. Instead, they should represent specific community interests including: (a) women, youth, the aged and disabled people, (b) health and social development, (c) education, sports, arts and culture, (d) local economic development, (e) community-based and non-governmental organisations, (f) environment and community safety and (g) religion (South Africa. Electoral Commission 2016:22-23). This implies that they would effectively execute their responsibilities of serving the citizens and not promote the interests of their political parties. In essence, ward committees assist elected ward councillors to effectively execute their mandated responsibilities in their wards (Mokoena & Van Rooyen 2013:766). There should be close cooperation between the proposed community accountability structure and community development workers (CDWs) and the citizens as the feedback providers about a service. CDWs are expected to work closely with mayors, municipal councillors, ward committees' members and officials within the three government spheres. Other BLM non-governmental structures with research expertise could also work closely with the proposed structure. The BLM research officials can assist by providing research workshops. This would also enhance research job opportunities for the ward committee members selected after the expiry of their terms of office.

Building defects are imperfections in building which cause a minimal difference in the outcome of the building process (Hopkin, *et al.*, 2015:2). The proposed community structure may also play a role in modifying the CRC survey questionnaire developed in order to determine the quality of other services provided to BLM citizens including health, education, roads, and water. It should be noted that the tool developed for the BLM (CRC survey questionnaire) would be used for summative evaluation of the public services provided. In the context of housing, the CRC survey questionnaire would be used for post occupational evaluation (POE), thus implying that the CRC survey questionnaire would

be used as a post accountability tool. The Construction of Youth House 50 Project was used in the development of the CRC survey questionnaire (see below). This questionnaire should be piloted to at least ten (10) beneficiaries in order to detect flaws in the questions and correct such flaws prior the main survey. The researcher is not political affiliated and would be prepared to assist in piloting of the developed accountability tool. The pilot researchers could convert the open-ended questions into closed questions and vice versa as advised by Burges (2001:15). After piloting, the proposed BLM accountability community structure should hold focus group (FG) discussions with the housing beneficiaries to jointly identify aspects that should be included in the CRC survey questionnaire developed so as to determine the quality of the houses provided and to compel the implementing agent and the BLM to take urgent corrective measures.

As a test for the survey questionnaire developed, the CRC survey tool should focus on the quality of the houses provided only. If the survey findings are productive, the questionnaire could then be modified to determine the quality of other housing services such as water. Stakeholders with expertise in conducting research could assist the development of the proposed BLM community accountability structure by offering research training or help in modifying the developed CRC survey questionnaires. After writing the survey report, all stakeholders should be involved in deciding on the correct remedial actions. The BLM could play a role in improving the adequacy of the houses provided and contribute to outcome eight (8) of the NDP. A semi-structured CRC survey questionnaire should be used to collect the survey data so that the qualitative and quantitative data complement each other so as to ensure quality results – section 4.3.3. The beneficiaries of the services provided would constitute the target populations. Based on the results, all responsible agents and the BLM would be held accountable for their actions in providing solutions to the housing problems reported.

Table 7.1: Key stages of the CRC process for the developed accountability tool

Stages	Objective	Expertise	Output	Estimated time
First: Assessment of local conditions.	Evaluate local conditions to determine suitability as regards the CRC implementation. Assess the skills of the proposed members of the community structure in respect of conducting the survey. It should be noted that the effectiveness of the CRC survey depends on the conditions in the locations and staff capacity.	Knowledge of the village and the ward as a whole.	Decision whether or not to implement the CRC.	Two (2) weeks.
Second: Pre-survey groundwork.	Identify the scope of the CRC, formulate preliminary implementation	Knowledge of: (a) budgeting and fund raising and service	Write purpose statement for the CRC. Projections for budgets and	Two (2) months.

	plans and design the survey questionnaire, including the sampling process.	provision, (b) service provision and (c) social science methodology.	funding are required. Compile work plans reflecting deadlines. Develop the survey questionnaire.	
Third: Conducting the survey.	Conduct the survey.	Coordination and interview skills.	Completed and quality checked survey questionnaires.	Two (2) weeks to two (2) months depending on the sample size.
Fourth: Post survey analysis.	Determine the key findings regarding satisfaction and the quality of the service provided.	Data entry, data analysis and data interpretation, ability to write analytical survey report.	Database on service quality based on citizens' feedback, including tables. The main CRC report.	Three (3) months.
Fifth: Dissemination of findings	Disseminate the findings to key stakeholders. The BLM Communication, Marketing and Events	Ability to effectively communicate orally and in writing with citizens, press and public	Presentations to services providers and citizens. Press conferences and releases,	Two (2) months

	<p>Coordination Unit could assist in the dissemination of the findings of the survey conducted. This is suggested in view of the fact that 80% of the ward councillors had indicated that they used this unit to consult, communicate, coordinate and cooperate on housing issues with the MPDHS and NDHS while 73.3% had indicated that they used this unit to collaborate on housing issues with the MPDHS and NDHS. In</p>	<p>service providers.</p>	<p>newspaper and TV coverage. Written reports and posters targeting various audiences.</p>	
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	<p>addition, the BLM housing officials had indicated that they used this unit to consult, communicate, coordinate, cooperate and collaborate on housing issues with the MDHS and NDHS. Furthermore, this unit is primarily responsible for communication between the municipality and communities through the media and community outreach programmes (BLM 2011-2016:49).</p>			
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Sixth: Improving services	Use CRC findings to bring about improvements in service delivery and contribute to NDP outcomes.	Ability to work with CSOs, media and service providers. Skilled in designing and implementing service delivery improvements.	Outputs may vary but include: exchanging best practices through workshops with service providers, awareness and dialogue campaigns and open public forums. Piloting of new reforms.	Six (6) months.
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Source: Adapted by the researcher, 2016 from Asian Development Bank (ADB) and Asian Development Bank Institution (ADBI) (2007)

7.2.1.1.1. The CRC survey questionnaire developed for the BLM citizens

Information about the interviewer

Name of the interviewer:

Ward number:

Name of the village:

Information about the interview

Name of the project: Construction of Youth Houses 50 Project (ward 31 Thulamahashe C)

Type of service: Housing

Name of the government department (principals): BLM, MPDHS and NDHS

Name of the service provider/contractor (agent):

Departmental database registration number or reference of the contractor:

Contract number:

National Home Builders Registration Council number:

Tax clearance certificate number:

Years of service:

Date of the interview:

Dear participant

You are hereby invited to participate in a citizen report card (CRC) survey conducted by the Bushbuckridge accountability community structure. The purpose of this research study is to determine the quality of the houses provided to the Thulamahashe C (ward 31) housing beneficiaries under the Construction of Youth Houses 50 Project. The aim of this survey is to hold the service provider (agent) and the BLM, MPDHS and NDHS accountable for reported defects and to compel them to jointly take urgent corrective measures.

Please note the following important information:

1. This is an anonymous study and your name will not be included in the CRC survey questionnaire.

2. Your answers will be treated as confidential.
3. The findings of this study will be used to hold housing service providers (housing agents), the BLM, the MPDHS and the NDHS accountable for their actions and to compel them to take corrective measures.
4. The results will also be used to improve the quality of public housing in the Bushbuckridge Local Municipality

A. Biographical information

A.1 Gender

Male	1
Female	2

A.2 Age

18-35 years	1
35-45 years	2
45-55 years	3
55-65 years	4
65-75 years	5
75-85 years	6
85+	9

A.3 For how long have you been living at Thulamahashe C (ward 31)

1 year	1
2 years	2
3 years	3
4 years	4

5 years	5
More	6

A.4 Educational level

Never attended school	1
Passed grade 7	2
Passed grade 8	3
Passed grade 9	4
Passed grade 10	5
Passed grade 11	6
Passed grade 12	7
Tertiary qualification	8
Post graduate qualification	9

A.5 Employment status

Full-time employment	1
Part-time employment	2
Self-employed	3
Unemployed	4
Pensioner	5
Student	6

A.6 Monthly income

No income	1
0–R1000	2
R1000–R2500	3
R2500–R4000	4

R4000–R8000	5
Higher	6

A.7 Number of permanent occupants

1	1
2	2
3	3
4	4
5	5
6	6
7	7
7+	8

A.8 Marital status

Married	1
Divorced	2
Widowed	3
Single	4
Never married	5

B: Quality of the structure

B.1 Do you think your house is of a good quality?

Yes	1
No	2

B.1.1 If no, please explain

B.2 What do you understand about a quality house

B.3 Are you happy with the design of your house?

Yes	1
No	2

B.3.1 If no, please explain

B.4 Are you happy with the size of your house?

Yes	1
No	2

B.4.1 If no, please explain

B.5 Does your house satisfy your housing needs?

Yes	1
No	2

B.5.1 If no, please explain

C. Causes of defects

Tick the appropriate box

C.1 Housing service providers use unskilled cheap labour

1	Agree		2	Disagree		3	Uncertain	
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C.2 Housing service providers buy cheap building materials

1	Agree		2	Disagree		3	Uncertain	
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C.3 Housing service providers use inexperienced (emerging) sub-contractors

1	Agree		2	Disagree		3	Uncertain	
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C. 4 Housing service providers do not monitor sub-contractors

1	Agree		2	Disagree		3	Uncertain	
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C.5 Housing service providers do not supervise sub-contractors

1	Agree		2	Disagree		3	Uncertain	
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C.6 Housing service providers do not understand the National Building Regulations

1	Agree		2	Disagree		3	Uncertain	
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C.7 Housing service providers do not carry out quality assurance on the work of sub-contractors

1	Agree		2	Disagree		3	Uncertain	
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C.8 The majority of contract workers are not committed to meeting quality housing standards

1	Agree		2	Disagree		3	Uncertain	
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C.9 Principals (housing department) do not carry out effective inspections of the work in progress during the housing project implementation phase

1	Agree		2	Disagree		3	Uncertain	
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C.10 The BLM ward councillors do not visit the housing implementation sites

1	Agree		2	Disagree		3	Uncertain	
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C.11 Principals (housing departments) do not compile weekly evaluation progress reports

1	Agree		2	Disagree		3	Uncertain	
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C.12 Officials from the three government spheres execute their mandated housing responsibilities only during housing project implementations in the BLM.

1	Agree		2	Disagree		3	Uncertain	
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C.13 The ward committee member does not report our housing problems to the ward councillor

1	Agree		2	Disagree		3	Uncertain	
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C.14 The ward councillor does not report our housing problems to the municipal council

1	Agree		2	Disagree		3	Uncertain	
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C.15 The municipal council ignores our housing problems which are reported

1	Agree		2	Disagree		3	Uncertain	
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C.16 No official from the three government spheres holds the service provider accountable for defects during the project implementation phase

1	Agree		2	Disagree		3	Uncertain	
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C.17 The BLM housing officials do not conduct post occupational evaluations (POE)?

1	Agree		2	Disagree		3	Uncertain	
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C.18 The National Home Builders Registration Council does not inspect the built houses before they are allocated to beneficiaries

1	Agree		2	Disagree		3	Uncertain	
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C.19 Inexperienced and unqualified housing officials are employed in the housing departments/units.

1	Agree		2	Disagree		3	Uncertain	
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C.20 There is political interference in housing administrative management and operations

1	Agree		2	Disagree		3	Uncertain	
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C.21 There is political interference and no transparency when housing contracts are negotiated and executed.

1	Agree		2	Disagree		3	Uncertain	
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Thank you for your time.

7.3 Conclusion

The houses provided to Mpumalanga residents by the MPDHS are of a poor quality. The adoption of the GEAR strategy in 1996 by the South African democratic government and which was aimed at reducing government spending resulted in the outsourcing of public services. Housing is one of the outsourced public services and is provided by housing service providers (agents) contracted by government departments (principals). When delivering public services, including housing services, through PPPs, the public sector (as principal) should be held accountable for the provision of these services and must ensure that housing projects are completed successfully. Accountability refers to the ability and willingness of a person or an organisation to clarify what the person or organisation receives from all the stakeholders or from the principals. Accountability is one of the principles of good governance (GG). The CRC model is one of the effective accountability models which may be used by citizens to hold government agents and principals accountable for the delivery of public services, including housing.

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Uganda. Uganda Local Government Act, no 243, 1997. Uganda: Government Printer.

ANNEXURES

Annexure A: Letters to the Bushbuckridge Local Municipality and the Mpumalanga Provincial Department of Human Settlements requesting permission to conduct the study.

11947 Kagiso Ext.6 Hospitalview

KAGISO

1754

06 November 2013

The Municipal Manager

Bushbuckridge Local Municipality

Private Bag X9308

BUSHBUCKRIDGE

1280

REQUEST FOR PERMISSION TO CONDUCT A RESEARCH STUDY

Dear Mr Shabangu

hostel in the Mogale City Local Municipality. The focus of the study was on evaluating the implementation of the Hostel Redevelopment Programme. The results of the study revealed that there was no effective cooperation between the officials of the Gauteng Department of Local Government and Housing, Mogale City Local Municipality and the DGSD Consulting Engineers and Project Managers tasked with deliverance of adequate houses.

The Hostel Redevelopment Programme was adopted by the democratic government in 1994 but the results of the study also revealed that 72,6% of the participants were living in their original hostel rooms built before the inception of the democratic government in 1994 and 27,4% of the participants were living in containers because their hostel blocks were demolished and converted into family units. But the built family units were not occupied since 2008. It can be concluded that the Kagiso hostel dwellers were not provided with adequate housing from 1994-2012. This is because for a house to be declared adequate, it must provide sufficient space, proper sanitation, clean water, tenure security, prevent overcrowding and offer protection from the extremes of the climate (Beets & Van Niekerk 1990:69; Percy-Smith 1996:103).

Some of the constitutional mandates (of the Constitution of the Republic of South Africa of 1996 as amended) that provide for adequate housing and cooperative governance include: Section 41 provides for the principles of cooperative government and the intergovernmental relations. Section 26 (1) states that everyone has the right to have access to adequate housing and section 26 (2) states that the state must take reasonable legislative and other measures within its available resources to achieve the progressive realisation of this right (access to adequate housing.) Chapter 7 provides for local government.

If there is any housing programme/project you envisage evaluating, you may propose a research topic or research study. If the proposed topic is researchable, I might divert from my original topic because my main objective of conducting research studies at local government sphere is to contribute to the improvement of service delivery. Service delivery protests and demonstrations seem to be out of control in this country and municipal infrastructures are damaged by protestors in

most instances because they believe that municipalities are failing them while sometimes cooperation and cross-functioning of the three government spheres lack.

Hope you'll find the above in order.

Yours sincerely

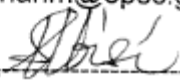
Salphinah Vuloyimuni Ubisi

Student number: 40518167

Tel: 012 352 1037

Cell: 073 638 7231

Email: Salphinahm@opsc.gov.za

Signature-----

UBISI MS

REFERENCE NUMBER: 40518167

11947 KAGISO

HOSPITAL VIEW EXT 6

1754

DATE : 2013-10-25

ENQUIRIES -TEL : 0861670411

Dear MS UBISI

Your application for admission to study for the degree of
DOCTOR OF ADMINISTRATION IN PUBLIC ADMINISTRATION has been received.

Allow the University sufficient time for processing your application before
expecting feedback.

Yours faithfully

The Registrar

UBISI S V MS
11947 KAGISO
HOSPITAL VIEW EXT 6
1754

STUDENT NUMBER : 4051-816-7
ENQUIRIES : POSTGRADUATE QUALIFICATIONS
TELEPHONE NO : (012) 441-5702
FAX : (012) 429-4150

2013-11-04

Dear Student

Kindly note that your application for admission can only be considered if you upload the following outstanding supporting documents at Step 2 on the webpage <http://applications.unisa.ac.za/MD/> before the relevant closing date:

*A research outline in the following format:

- 1.A proposed topic
- 2.A brief review of relevant literature
- 3.Motivation for a quantitative or qualitative choice of study
- 4.Access to the relevant research context
- 5.List of references (use APA referencing method)

You will find additional information at <http://www.unisa.ac.za/qualificationsMD/>

* certified copies of your official transcript(s) of all your previous academic qualifications.

I look forward to receiving the above documents.

Yours faithfully

For Registrar

11947 Kagiso Secretarybird Street

Ext 6 Hospitalview

KAGISO

1744

14 April 2014

The Head of Department

Department of Human Settlements

Private Bag X11328

NELSPRUIT

1200

Dear Mr SM Mtshweni

REQUEST FOR A PERMISSION TO CONDUCT A RESEARCH

I hereby request a permission to conduct a research at your institution for my study.

I'm currently doing a Doctorate degree in Public Administration with the University of South Africa. The study focuses on co-operative governance and intergovernmental relations between officials tasked with deliverance of houses in the three government spheres, see the attached research outline for more information.

Enclosed is the letter from the University of South Africa confirming the approval of my application.

Yours sincerely



SV Ubisi (Ms)

MDS01H

3399

MS S V UBISI

Student number : 40518167

11947 KAGISO

Telephone no. : 0861670411

HOSPITAL VIEW EXT 6

Fax: (012) 429-4150

1754

2014-03-05

Dear MS S V UBISI

I have pleasure in informing you that your application for admission to the studies for the degree of 98700 DOCTOR OF ADMINISTRATION IN PUBLIC ADMINISTRATION has been approved for the 2014 academic year. Register online at: <https://registration.unisa.ac.za/info/within> the prescribed dates. If you do not register for 2014 you have to reapply for admission for 2015.

Kindly note that you will register for the compulsory research proposal module in your first year of study. No printed study material is available for this module. It must be downloaded from the myUnisa website at the following URL: <https://my.unisa.ac.za>.

The outcome of the research proposal module is an accepted research proposal. Once your proposal has been accepted officially you have to register online for the research component, i.e. dissertation/thesis of the degree. As soon as you have registered for the research proposal module and have accessed your study material, you must contact the following person to oversee your progress and assist you with your studies:

The contact person detail:

Name Prof GM FERREIRA

Contact detail FERREGM@UNISA.AC.ZA / +27124296618

Yours faithfully

for Registrar

Annexure B: Letters of approval from Bushbuckridge Local Municipality and the Mpumalanga Provincial Department of Human Settlements



**BUSHBUCKRIDGE
LOCAL
MUNICIPALITY**

Tel: 013 799 1835/45/51/57

Fax: 013 799 1865

Email: info@bushbuckridge.gov.za

Private Bag X 9308
Bushbuckridge
1280
R533 Graskop Road opp. Mapulaneng DLTC
Maviljan Region
Bushbuckridge

Website: www.bushbuckridge.gov.za

11947 Kagiso
Ext 6 Hospital View
KAGISO
1754

Dear Ms Salphina V Ubisi

RE: RESPONSE ON THE LETTER OF REQUEST FOR YOU TO CONDUCT A REASERCH STUDY.

It is a pleasure to notify you that the request for you to conduct a research has been granted until such period intended to finalise your studies.

Kind regards

S. Mgiba
PERSONAL ASSISTANT



**BUSHBUCKRIDGE
LOCAL
MUNICIPALITY**

Tel: 013 799 1036/45/51/57

Fax: 013 799 1865

Email: info@bushbuckridge.gov.za

Private Bag X 9308
Bushbuckridge
1280
R533 Gresskop Road opp. Mapulaneng DLTC
Mafikeng Region
Bushbuckridge

Website: www.bushbuckridge.gov.za

26 September 2014

MS .SV Ubisi

RE: REQUEST TO CONDUCT RESEARCH STUDY.

Your letter dated 10 March 2014 refers.

Permission is hereby granted for you to conduct a research study at Bushbuckridge Local Municipality.

You are further requested to furnish the Administration with your plan of action with dates and officials to be interviewed.




Wishing you all of the best during your engagement and we sincerely believe it will be of benefit to our municipality.

Kind Regards

**HM Phaahla
ASSISTANT ADMINISTRATOR**

87/12/14
DATE

Annexure C: Ethical clearance certificate

RESEARCH ETHICS REVIEW COMMITTEE	
Date: 24 March 2016	<div style="border: 1px solid black; padding: 5px;">Ref #: PAM/2016/002 (Ubisi) Name of applicant: Ms SV Ubisi Student #: 40518167</div>
Dear Ms Ubisi	
<div style="border: 1px solid black; padding: 2px; display: inline-block;">Decision: Ethics Clearance Approval</div>	
<hr/> <p>Name: Ms SV Ubisi, ubisisv@unisa.ac.za, tel: 0736387231 <i>[Supervisor: Prof P Khumalo, 012 429 3779, khumap1@unisa.ac.za]</i> Research project: Provision of adequate housing through cooperative government and intergovernmental relations: The case of Bushbuckridge Local Municipality (BLM): Qualification: PhD</p> <hr/>	
<p>Thank you for the application for research ethics clearance by the Department: Public Administration and Management: Research Ethics Review Committee for the above mentioned research. Final approval is granted for the duration of the project.</p> <p>The decision will be tabled at the next College RERC meeting for notification/ratification.</p> <hr/>	
<p>For full approval: The application was reviewed in compliance with the Unisa Policy on Research Ethics by the RERC on 4 March 2016. The proposed research may now commence with the proviso that:</p> <ol style="list-style-type: none">1) The researcher will ensure that the research project adheres to the values and principles expressed in the Unisa Policy on Research Ethics.2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to this Ethics Review Committee. An amended application could be requested if there are substantial changes from the existing proposal, especially if those changes affect any of the study-related risks for the research participants.3) The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.	
Kind regards	
<p>Prof Mike van Heerden Chairperson: Research Ethics Review Committee vhheerm@unisa.ac.za</p>  	<p> Prof MT Mogale Executive Dean: CEMS</p> <p style="text-align: right; font-size: small;">University of South Africa Pretorius Street, Muckleneuk Ridge, City of Tshwane PO Box 192 UNISA 0003 South Africa Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150 www.unisa.ac.za</p>
<p>Open Rubric</p>	

Annexure D: Semi-structured questionnaires



SEMI-STRUCTURED QUESTIONNAIRE

Ward councillors of the Bushbuckridge Local Municipality

**PROVISION OF ADEQUATE HOUSING THROUGH COOPERATIVE
GOVERNMENT AND INTERGOVERNMENTAL RELATIONS: THE CASE OF
BUSHBUCKRIDGE LOCAL MUNICIPALITY**

Dear participant

You are hereby invited to participate in a research study conducted by Ms Salphinah Vuloyimuni Ubisi, a doctoral student from the Department of Public Administration at the University of South Africa (Unisa). The purpose of this research study is to determine the effectiveness of the cooperative government and intergovernmental relations structures of the three government spheres in providing adequate housing at the Bushbuckridge Local Municipality.

Please note the following important information:

- (1) This is an anonymous study. Your name will not be written on the questionnaire. Your answers will be treated confidential.
- (2) Participation in this study is optional. You may decide to withdraw anytime you wish to.
- (3) Please answer all questions in the attached questionnaire.
- (4) This study will be used for academic purposes which include publishing an article in an academic journal. You will also receive a report of findings.
- (5) Please contact me if you need further clarity on: 073 638 7231 or at 40518167@mylife.unisa.ac.za/SalphinahM@opsc.gov.za

A. Effectiveness of cooperative government and intergovernmental relations structures in providing adequate housing

A.1 Does the ward committee report all housing challenges to you?

Yes	1
No	2

A.1.1 If no, what is/are the main reason/s for the ward committee not to report housing challenges to you?

A.2 Do you report all housing challenges of your ward to the municipal council?

Yes	1
No	2

A.2.1 If no, please explain the main reasons for not reporting the housing challenges to the municipal council

A.3 Do you serve in the national intergovernmental forum/PCC?

Yes	1
No	2

A.4 Do you serve in the provincial intergovernmental forum?

Yes	1
No	2

A.5 Who represent your municipality in the municipal intergovernmental forum?

Municipal manager	1
Mayor	2
All municipal councillors	3

Other, specify	4
----------------	---

A.6 Do you think the municipal intergovernmental forum is effective in addressing housing challenges at the Bushbuckridge Local Municipality, please explain?

A.7 Do you think your IDP section/directorate involves all housing stakeholders in the development of integrated development plans, please explain?

A.8 How do you rate your relationship with the provincial SALGA?

Excellent	1
Very good	2
Good	3
Very power	4
Poor	5
No relationship at all	6

A.9 How do you rate your relationship with the office of the MEC of the Mpumalanga Provincial Department of Human Settlements?

Excellent	1
Very good	2
Good	3

Very power	4
No relationship at all	5

A.10 How do you rate your relationship with the office of the MEC of the Mpumalanga Provincial Department of Cooperative Government and Traditional Affairs?

Excellent	1
Very good	2
Good	3
Very power	4
No relationship at all	5

A.11 Does the local government budget forum address your budget needs

Yes	1
No	2

B. Effectiveness of the democratic decentralisation model in providing adequate housing

B.1 Do you think your housing roles and responsibilities are clear?

Yes	1
No	2

B.2 In your opinion, do you think you execute all housing responsibilities fully independently?

Yes	1
No	2

B.2.1 If no, what are the reasons of not executing housing responsibilities independently?

B.3 Did the allocated budget cater for housing services such as water, sanitation etc.?

Yes	1
No	2

B.4 In your opinion, do you think the Mpumalanga Provincial Department of Human Settlements should implement housing projects in your municipality, please explain?

C. Causes of silo operations in delivering adequate housing

C.1 Do you use BLM's Communication, Marketing, and Events Coordination unit to consult with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements on housing issues?

Yes	1
No	2

C.1.1 If yes, do you get feedback of your consulted housing issues?

Yes	1
No	2
Sometimes	3

C.2 Do you use the BLM's Communication, Marketing, and Events Coordination unit to communicate housing issues with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements on housing issues

Yes	1
No	2

C.2.1 If yes, do you get feedback of your communicated housing issues?

Yes	1
No	2
Sometimes	3

C.3 Do you use the BLM's Communication, Marketing, and Events Coordination unit to coordinate housing issues with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements?

Yes	1
No	2

C.3.1 If yes, do you think housing is delivered on effective coordinated manner by the three government sphere, please explain?

C.4 Do you use the BLM's Communication, Marketing, and Events Coordination unit to cooperate with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements on housing issues ?

Yes	1
No	2

C.4.1 If yes, do you think housing is delivered on effective cooperative manner by the three government sphere, please explain

C.5 Do you use the BLM's Communication, Marketing, and Events Coordination unit collaborate housing issues with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements?

Yes	1
No	2

C.5.1 If yes, do you think housing is delivered on effective cooperative manner by the three government sphere, please explain

Thank you for your time.



SEMI-STRUCTURED QUESTIONNAIRE

Officials of the Bushbuckridge Local Municipality (BLM)

PROVISION OF ADEQUATE HOUSING THROUGH COOPERATIVE GOVERNMENT AND INTERGOVERNMENTAL RELATIONS: THE CASE OF BUSHBUCKRIDGE LOCAL MUNICIPALITY

Dear participant

You are hereby invited to participate in a research study conducted by Ms Salphinah Vuloyimuni Ubisi, a doctoral student from the Department of Public Administration at the University of South Africa (Unisa). The purpose of this research study is to determine the effectiveness of the cooperative government and intergovernmental relations structures of

the three government spheres in providing adequate housing in the Bushbuckridge Local Municipality.

Please note the following important information:

- (1) This is an anonymous study. Your name will not be included in the questionnaire and your answers will be treated as confidential.
- (2) Participation in this study is optional. You may decide to withdraw anytime you wish to do so.
- (3) Please answer all the questions in the questionnaire.
- (4) This study will be used for academic purposes which include publishing an article in an academic journal. You will also receive a report of the findings.
- (5) Please contact me if you need further clarity on: 073 638 7231 or at 40518167@mylife.unisa.ac.za/SalphinahM@opsc.gov.za

A. Administration of the Construction of the Youth Houses 50 Project, Project ID BLMHL005

A.1 Do you have a housing demand database?

Yes	1
No	2

A.1.1 If yes, what type of information is contained in the demand database?

A.1.1.1 How do you use the information contained in the demand database? Please explain

A.2 Is there a housing allocation committee in your institution?

Yes	1
No	2

A.3 If yes, how many members are serving on this committee?

1	1
2	2
3	3
4	4
5	more

A.4 Is there a housing project steering committee?

Yes	1
No	2

A.4.1 If yes, who are the committee members?

A.5 Do you have access to the National Housing Needs Register (NHNR)?

Yes	1
No	2

A.5.1 If no, please explain the reasons for not having access to the NHNR

B. Effectiveness of the democratic decentralisation model in providing adequate housing

B.1 Do you think your housing roles and responsibilities are clear?

Yes	1
No	2

B.1.1 If no, why are they not clear? Please explain

B.2 Do you think you execute all housing responsibilities fully independently?

Yes	1
No	2

B.2.1 If no, what are the reasons of not executing your housing responsibilities independently?

B.3 Did you have a budget allocated for housing services such as water, sanitation etc for the Construction of Youth Houses 50 Project at Thulamahashe C?

Yes	1
No	2

B.4 In your opinion, do you think the Mpumalanga Provincial Department of Human Settlements should implement housing projects in your municipality? Please explain.

C. Causes of silo operations in delivering adequate housing

C.1 Do you use your Communication, Marketing, and Events Coordination Unit to consult with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements on housing issues?

Yes	1
No	2

C.1.1 If yes, do you receive feedback about these housing issues?

Yes	1
No	2
Sometimes	3

C.2 Do you use your Communication, Marketing, and Events Coordination Unit to communicate about housing issues with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements?

Yes	1
No	2

C.2.1 If yes, do you receive feedback on these housing issues?

Yes	1
No	2
Sometimes	3

C.3 Do you use your Communication, Marketing, and Events Coordination Unit to coordinate housing issues with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements?

Yes	1
No	2

C.3.1 If yes, do you think housing is delivered in an effective, coordinated manner by the three government sphere? Please explain.

C.4 Do you use your Communication, Marketing, and Events Coordination Unit to cooperate with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements on housing issues ?

Yes	1
No	2

C.4.1 If yes, do you think housing is delivered in an effective, cooperative manner by the three government sphere? Please explain.

C.5 Please explain how your Communication, Marketing, and Events Coordination unit collaborate on housing issues with the Mpumalanga Provincial Department of Human Settlements and the National Department of Human Settlements?

Thank you for your time



SEMI-STRUCTURED QUESTIONNAIRE

Beneficiaries of the Construction of Houses 50 Project: ID BLMHL005

PROVISION OF ADEQUATE HOUSING THROUGH COOPERATIVE GOVERNMENT AND INTERGOVERNMENTAL RELATIONS: THE CASE OF BUSHBUCKRIDGE LOCAL MUNICIPALITY

Dear participant

You are hereby invited to participate in a research study conducted by Ms Salphinah Vuloyimuni Ubisi, a doctoral student from the Department of Public Administration at the University of South Africa. The purpose of this research study is to determine the

effectiveness of the cooperative government and intergovernmental relations structures of the three government spheres in delivering adequate housing in the Bushbuckridge Local Municipality.

Please note the following important information:

1. This is an anonymous study. Your name will not be included in the questionnaire and your answers will be treated confidentially.
2. Participation in this study is optional. You may decide to withdraw anytime you wish to do so.
3. This study will be used for academic purposes which include publishing an article in an academic journal. You will also receive a report on the findings.
4. Please answer all the questions in the questionnaire.
5. Please contact me if you need further clarity on: 073 638 7231, 40518167@mylife.unisa.ac.za/SalphinahM@opsc.gov.za

A. Biographical information

A.1 Gender

Male	1
Female	2

A.2 Age

18-35 yrs	1
35-45 yrs	2
45-55 yrs	3
55-65 yrs	4
Older than 65 yrs	5

A.3 Marital status

Single	1
Married	2
Never married	3

Divorced	4
Widowed	5

A.4 Employment status

Full time employment	1
Part-time employment	2
Self-employed	3
Unemployed	4
Pensioner	5
Student	6

A.5 Monthly income

0-R1000	1
R1000-R2500	2
R2500-R4000	3
R4000-R8000	4
Morer	5

A.6 Where were you born?

Thulamahashe	1
Rolle	2
New Forest	3
Dingledale	4
Other	5

A.7 Educational level

Never attended school	1
Passed grade 10	2
Passed grade 12	3
Tertiary qualification	4
Post graduate qualification	5

B. Public participation (one of the requirements of decentralisation and the vision of democracy)

B.1 Were you invited to attend the planning phase meeting of the housing project

Yes	1
No	2

B.2 If yes, who invited you?

Municipal official	1
Ward councillor	2
Ward committee member	3
Friends	4
Neighbours	5
Other	6

B.3 Were you given an opportunity to provide/mention your housing needs during the planning phase?

Yes	1
No	2

B.3.1 If no, please explain

Answer:-----

B.4 Did you participate in the implementation of the project

Yes	1
No	2

B.4.1 If no, please explain

Answer:-----

B.5 Did you participate in the allocation phase of the completed houses?

Yes	1
No	2

B.5.1 If no, please explain

Answer:-----

B. 6 Do you think the completed houses were fairly allocated to the targeted beneficiaries?

Yes	1
No	2

B.6.1 If no, please explain

Answer:-----

B.7 Who do you consult if you encounter any housing problems?

Municipal official	1
Ward councillor	2
Ward committee member	3
Housing service provider/s	4

B.7.1 Were all the housing problems you reported, if any, solved?

Yes	1
No	2

B.7.1.1 If no, why they were not solved?

Answer:-----

C. Adequacy of the houses provided

C.1 Does the house have the following housing basic services?

C.1.1 Security of tenure for protection against forced evictions

Yes	1
No	2

C.1.2 Drinking water

Yes	1
No	2

C.1.3 Electricity

Yes	1
No	2

C.1.4 Adequate sanitation

Yes	1
No	2

C.1.5 Adequate space

Yes	1
No	2

C.1.6 Protection against cold

Yes	1
No	2

C.1.7 Protection against heat

Yes	1
No	2

C.1.8 Protection against damp

Yes	1
No	2

C.1.9 Protection against rain

Yes	1
No	2

C.1.10 Access to employment opportunities

Yes	1
No	2

C.1.11 Access to shops

Yes	1
No	2

C.1.12 Access to health care services

Yes	1
No	2

C.1.13 Access to schools

Yes	1
No	2

C.1.14 Access to parks

Yes	1
No	2

C.1.15 Access to waste removal services?

Yes	1
No	2

C.1.16 Are you able to afford to pay for sanitation and waste removal services on a monthly basis?

Yes	1
No	2

C.1.16.1 If no, please explain

Answer:-----

C.1.17 Are you able to afford monthly purchases of water and electricity?

Yes	1
No	2

C.1.17.1 If no, please explain

Answer:-----

C.1.18 Does the allocated house meet your housing needs?

Yes	1
No	2

C.1.18.1 If no, please explain

Answer:-----

C.1.19 What is your understanding of an adequate house?

Answer:-----

Thank you for your time



SEMI-STRUCTURED QUESTIONNAIRE

WARD 31 COMMITTEE MEMBERS (THULAMAHASHE C)

PROVISION OF ADEQUATE HOUSING THROUGH COOPERATIVE GOVERNMENT AND INTERGOVERNMENTAL RELATIONS: THE CASE OF BUSHBUCKRIDGE LOCAL MUNICIPALITY

Dear participant

You are hereby invited to participate in a research study conducted by Ms Salphinah Vuloyimuni Ubisi, a doctoral student from the Department of Public Administration at the University of South Africa. The purpose of this research study is to determine the

effectiveness of the cooperative government and intergovernmental relations structures of the three government spheres in delivering adequate housing at the Bushbuckridge Local Municipality.

Please note the following important information:

1. This is an anonymous study. Your name will not be included in the questionnaire and your answers will be treated confidentially.
2. Participation in this study is optional. You may decide to withdraw anytime you wish to do so.
3. This study will be used for academic purposes which include publishing an article in an academic journal. You will also receive a report on the findings.
4. Please answer all the questions in the questionnaire.
5. Please contact me if you need further clarity on: 073 638 7231, 40518167@mylife.unisa.ac.za/SalphinahM@opsc.gov.za

A. Biographical information

A.1 Gender

Male	1
Female	2

A.2 Age

18-35 yrs	1
35-45 yrs	2
45-55 yrs	3
55-65 yrs	4
Older than 65 yrs	5

A.3 How long have you been living at Thulamahashe C

1 year	1
2 years	2

3 years	3
4 years	4
5 years	5
More	6

A.4 Educational level

Never attended school	1
Passed grade 10	2
Passed grade 12	3
Tertiary qualification	4
Post graduate qualification	5

B. Effectiveness of cooperative government and intergovernmental relations structures in providing adequate housing

A.1 Do you report all housing challenges to the ward councillor?

Yes	1
No	2

A.1.1 If no, what is/are the main reason/s for not reporting all housing challenges to the ward councillor?

A.2 Do you think the ward councillor reports all the housing challenges identified to the municipal council accurately?

Yes	1
No	2

A.2.1 If no, please explain

A.3 Do you think the municipal council addresses your housing challenges fairly

Yes	1
No	2

A.3.1 If no, please explain

C. Local participatory governance (ward committees as instruments of the Freedom Charter's clause: '*People shall govern*')

C.1 Do you participate in the development of the BLM's Integrated Development Plans (IDPs)

Yes	1
No	2

C.1.1 If no, please explain the reasons for your non-participation in the development of the IDPs

C.2 Explain how you communicate housing issues to your local community

C.3 How often do you hold community meetings?

Weekly	1
Monthly	2
Quarterly	3
Only when there is a problem	4

C.4 Do you think your ward committee monitors the performance of your ward councillors?

Yes	1
No	2

C.4.1 If no, please explain

C.5 Does your ward councillor provide feedback to the ward committee on housing issues which have been discussed?

Yes	1
No	2

C.5.1 If no, please explain

Thank you for your time

Annexure E: Informed consent form

Department of Public Administration and Management

Informed consent for participation in an academic research study entitled:

Provision of adequate housing through cooperative government and intergovernmental relations: The case of Bushbuckridge Local Municipality (BLM)

**Research study conducted
by:**

Salphinah Vuloyimuni Ubisi, student number: (40518167)

Contact details: 073 638 7231, 40518167@mylife.unisa.ac.za or
SalphinahM@opsc.gov.za

Tick the appropriate box	
Ward councillor of the Bushbuckridge Local Municipality	
Ward committee member of Thulamahashe C	
Official of the Bushbuckridge Local Municipality	
Official of the Mpumalanga Provincial Department of Human Settlements	
Beneficiary of the Construction of Youth Houses 50 Project, Project ID BLMHL005	

Dear participant

Invitation to participate

You are hereby invited to participate in a research study conducted by Ms Salphinah Vuloyimuni Ubisi, a doctoral student from the Department of Public Administration and

Management at the University of South Africa (Unisa). Approval to conduct the study has been granted approval by the Research Ethics Review Committee of the Department of Public Administration and Management and Unisa. The interview will last for less than twenty (20) minutes only.

Purpose of the study

The purpose of this research study is to determine the effectiveness of the cooperative government and intergovernmental relations structures of the three government spheres in delivering adequate housing in the Bushbuckridge Local Municipality (BLM).

Participation

Participation is entirely voluntary and you may choose not to participate. You will not be prejudiced should you decide to discontinue with the interview. However, the information you provide will not be used if the informed consent form is not signed.

Procedure

Answer all the questions and feel free to refuse to answer any question should you not feel comfortable with the question.

Confidentiality

Your personal details are not required and the information provided will not be revealed to anyone outside of the project.

Costs and benefits

There are no financial costs, rewards or compensations for your participation. The findings will be beneficial to both the Bushbuckridge Local Municipality and the Mpumalanga Department of Human Settlements in improving housing service delivery.

Participant's rights

If you have any questions pertaining to your participation in this study, you may contact the researcher, Salphinah Vuloyimuni Ubisi by calling 073 638 7231 or email: 40518167@mylife.unisa.ac.za; SalphinahM@opsc.gov.za

Conclusion

By signing below, you are indicating that you have read and understood the information provided above and agreed to participate in this research study voluntarily.

Participant's signature:-----Date:-----

Researcher's signature:-----Date:-----

Annexure F: Probing and observation questions produced by fieldnotes

There are no rules as to how research fieldnotes should be compiled. Researchers should find their own prime formats which fit with the needs of their research projects, are workable and useful (Newbury 2001:4). This is asserted by Wolfinger (2002:85), who states that researchers go to the field, see what is happening and write it down. Writing fieldnotes provides safe space to document and question researchers' work (Thompson 2014:253). This is because taking fieldnotes raises fundamental questions regarding what the researcher chooses to observe and write (Hauge, Hellesø & Melby 2015:190). Questions should be precisely worded to yield the type of data the researcher requires to answer the research question as discussed in section 4.7.1.7. In this study, the researcher chose to compile probing and observation questions for the four (4) sampled groups and the results are provided in sections 6.3.1 and 6.3.2. Dates and venues of the conducted interviews are not mentioned below to maintain anonymity – see section 4.7.1.1.

Probing questions

Beneficiaries

Was participation in the planning phase of the project productive?

What were the reasons of not participating in the implementation phase of the project?

Who addresses your reported housing defects?

Does the house provide access to waste removal services and parks?

Do you afford monthly purchases for water?

Why were the reported housing problems/defects not addressed?

Who do you think must fix your housing defects?

How were the reported housing problems solved?

Were you born at Thulamahashe C?

Why your house does not have ceiling and floor tiles?

Ward Councilors

Why other beneficiaries of the implemented housing project are from other wards?

How do you communicate with your stakeholders?

How effective is your local government budget forum?

How is the budget for housing services allocated to you?

How does the municipal council prioritise housing needs of housing applicants?

How does the municipal council determine annual housing budgets?

How does the BLM's Communication, Marketing and Events Coordination assist housing delivery in your ward?

How does the Mpumalanga Provincial Department of Human Settlements delegate individual housing functions to you?

How many phases does the adopted Mpumalanga Development Coordinating Model (MDCM) have?

Ward Committee members

How do you plan your citizens' housing needs?

How do you submit the planned housing needs of the citizens to the municipal council?

How do you communicate with the citizens of Thulamahashe C?

Why other houses are built at Thulamahashe A & B?

BLM Housing officials

What are your core housing functions?

What is your role during implementation of housing projects?

How do you work with the Mpumalanga Provincial Department of Human Settlement and National Department Human Settlement during projects' implementation?

Observation questions**Ward councilors**

Are ward councilors required to adhere to section 195 (1) of the Constitution?

Are ward councilors adhering to the 2002 Code of Conduct for Public Servants guide?

Does the ruling party's cadre deployment policy hamper service delivery?

How do you promote public participation in your ward?

BLM Housing officials

How do you capture the housing needs of the piled housing applications?

How do you prioritise the captured housing needs?